



# THE AIR FACILITY SYSTEM (AFS) BUSINESS RULES COMPENDIUM



This compendium was compiled in 2003 via the collaborative efforts of the EPA Regions and Users of AFS. It is intended to be a living document, to change when the air compliance/enforcement program changes, and when the AFS changes.

JULY 2005





## AFS BUSINESS RULES COMPENDIUM

Revision # 1.0  
Date: July 2005

Office of Enforcement and Compliance Assurance  
Office of Compliance  
Enforcement Targeting & Data Division  
Data Information System Management Branch

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**RECORD OF DOCUMENT CHANGES:**

<b>Revision #</b>	<b>Date</b>	<b>Summary of Changes/Additions</b>
<b>0</b>	<b>JULY 2004</b>	<b>Initial release of the document.</b>
<b>1</b>	<b>JULY 2005</b>	<b>Update: Complete replacement</b>



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### INTRODUCTION

In July of 2003 at the National AFS Workshop in Chicago, IL, draft AFS Business Rules were introduced to all participants. These draft Business Rules are to become the documentation for how data is reported and used in AFS.

During the summer and into the fall of 2003, teleconferences with all ten EPA Regions and interested state and local participants were held to review each page and each record of the documents. Definitions were fleshed out and descriptions added resulting from the conversations held. An average of four one-hour conference calls were held with each Region. The resulting document was provided to the Air Branch Chiefs for comment, review and approval.

The information documented in the Business Rules will be used for three important purposes: to provide all users of the Air Facility System (AFS) with a guide for the interpretation of data fields, to complete a Closeness of Fit Analysis (COFA) with the Integrated Compliance Information System (ICIS) in a modernization effort; and for further integration with the Agency's multi-media information in systems like the Online Targeting and Information System (OTIS) and the Enforcement Compliance History Online (ECHO) system.

Suggestions for changes or additions to the compendium can be forwarded to:

- A. An Regional AFS Compliance Manager
- B. The AFS Helpline, Voice 1-800-367-1044, FAX 860-278-2400, or email to [AFShelpline@trcsolutions.com](mailto:AFShelpline@trcsolutions.com)
- C. AFS System Administrator, Betsy Metcalf, Voice 202-564-5962, FAX 202-564-0032, or email to [metcalf.betsy@epa.gov](mailto:metcalf.betsy@epa.gov)

Suggestions for changes/additions will be distributed among the Regional AFS Compliance Managers for comment, then reviewed in the AFS Configuration Control Board. After approval by the Board, the compendium will be updated.



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## SECTION 1 CURRENT MINIMUM DATA REQUIREMENTS (MDRs)

The Clean Air Act (CAA) describes in detail the reporting requirements for agencies authorized with delegation. EPA maintains several databases that track Air Compliance and Enforcement activity. AFS is the national repository for air stationary source surveillance and state enforcement activity. It maintains a universe of sources considered “Federally Reportable”. Federally Reportable sources are those which exceed (Major Sources) or have the potential to exceed (Synthetic Minor Sources) a pollutant’s major emission threshold; operating Part 61 National Emission Standard for Hazardous Air Pollutant (NESHAP) sources regardless of emission level, sources identified within the Compliance Monitoring Strategy (CMS) plan, any facility with a formal enforcement action, and any facility with an active HPV. See also Appendix 4, Glossary of Terms, for the definition of air program acronyms.

Every three years, an effort to document reporting requirements and measure the cost of data maintenance is completed. The “Information Collection Request (ICR)” is an identification of information collected by the Air Compliance and Enforcement community for support of the program. The most recent ICR can be found on the AFS Web Page at:  
<http://www.epa.gov/compliance/data/systems/air/afssystem.html>

The ICR provides a table of Minimum Data Requirements (MDRs). The following information provides a version of that document:



OMB approved, July 2005

**SUMMARY OF NATIONAL MINIMUM DATA REQUIREMENTS (MDRs)  
FOR CLEAN AIR ACT STATIONARY SOURCE COMPLIANCE**

**Note:** Unless otherwise noted, both Regions and states/locals report their data. The reportable universe of facilities for AFS includes: Major, Synthetic Minor and Part 61 NESHAP Minor facilities, other facilities identified within the CMS Evaluation Plan, any facility with a formal enforcement action, any facility with an active HPV. Individual regional/state agreements are not superceded by this listing.

<b><u>Identification</u></b>	<b><u>Covered by the 2001 ICR</u></b>	<b><u>AFS Acronym</u></b>
1. Facility Name	Yes	PNME
2. State	Yes	STAB/STTE
3. County	Yes	CNTY
4. Facility Number	Yes	PCDS
5. Street	Yes	STRS
6. City	Yes	CYNM
7. Zip Code	Yes	ZIPC
8. SIC or NAICS Code	Yes-SIC	SIC1/NIC1
9. Government Ownership	Yes	GOVT
10. HPV Linkage and Key Action (Day Zero)	Yes	Linked from Action Data
<b><u>Compliance Monitoring Strategy (CMS)</u></b>		
11. CMS Source Category <sup>1</sup>	Yes	CMSC
12. CMS Minimum Frequency Indicator <sup>1</sup>	Yes	CMSI
<b><u>All Regulated Air Program(s)<sup>2</sup></u></b>		
13. Air Program	Yes	APC1
14. Operating Status	Yes	AST1
15. Subparts for NSPS, NESHAP and MACT <sup>3</sup>	No	SPT1
<b><u>Regulated Pollutant(s) within Air Program(s)</u></b>		
16. Pollutant(s)	Yes	PLAP/CAPP
17. Classification(s)	Yes	ECLP/SCLP
18. Attainment Status	Yes	EATN/SATN
19. Compliance Status	Yes	ECAP/SCAP
<b><u>Actions Within Air Programs<sup>4</sup></u></b>		
20. Minimum Reportable Actions:		





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Notice of Violation(s)	Yes	
Administrative Order(s) and Assessed Penalties (Includes Enforcement Orders, Consent Decrees and Consent Agreements)	Yes	
Civil Referrals	Yes	
HPV Violation Discovered <sup>5</sup> Examples: FCEs, On-or Off-Site PCEs, Stack Tests, Title V Annual Compliance Certifications	No	Linked from Action Data
HPV Addressing Actions <sup>6</sup>	Yes	Linked from Action Data
HPV Resolving Actions <sup>7</sup>	Yes	Linked from Action Data
Full Compliance Evaluations	Yes	
Stack Tests <sup>8</sup>	Yes	
Title V Annual Compliance Certification Received <sup>9 11</sup>	Yes	
Title V Annual Compliance Certification Reviewed <sup>10 12</sup>	Yes	
Investigations <sup>13</sup>	Yes	

### **Additional Action Information:**

21. Results Code <sup>8 10</sup>	Yes	RSC1
22. RD08 (Certification Deviations) <sup>9 10</sup>	Yes	RD81
23. Date Scheduled <sup>11</sup>	Yes	DTS1
24. HPV Violation Type Code <sup>14</sup>	No	VTP1
25. HPV Violating Pollutant(s) <sup>14</sup>	No	VPL1

### **Timeliness Standard<sup>15</sup>**

26. Action Reported within 60 Days of Event; with minimum of 6 uploads to AFS per year.	No
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### **OPTIONAL/DISCRETIONARY DATA REPORTING TO AFS–NON-MDR DATA**

The following items cover data that is not considered an MDR, but will be useful and helpful for program implementation, evaluation and oversight. State and local agencies are encouraged to report the following items whenever practicable.

- Minor Facility information: For minor sources that are not MDR (MDR for minor facilities is defined as: Minor NESHAP, a minor facility identified within the CMS plan for evaluation, minor facilities with an enforcement action or any HPV case regardless of class) reporting is optional but encouraged. Minor source information would include NSPS and MACT subpart applicability.
- Stack Test Pollutant (PLC1)



- Partial Compliance Evaluations (PCEs) and specific reporting of On-Site PCE activity defined as: Complaint Partial Compliance Evaluation, Permit Partial Compliance Evaluation, Process Partial Compliance Evaluation, Partial Compliance Evaluation On-Site Observation. (Note: All PCEs are required to be reported by EPA Regional offices. Also, any negotiated PCEs that are part of an alternative frequency which is part of an agency's CMS plan are required to be reported.)
- Reporting more frequently than every 60 days.
- State Investigations initiated.
- Title V Permit Program Data Elements (PPDEs): Required for reporting to AFS by the Office of Air Quality Planning and Standards (OAQPS), used by the Office of Enforcement and Compliance Assurance (OECA) for major source universe population. To be established when the Title V permit is issued. AFS will require the establishment of an AFS ID, the individual permit number, category, and event type for permit issued plus the date achieved. Permit Program Data Elements (PPDEs) include the Permit Number (ASPN), Permit Category (PMTTC), and Permit Issuance Event Types (IF-Permit Issued and IR-Permit Renewal) and the date (PATY/PDEA).

### **Notes for Table 1:**

1. Generally EPA enters this information into AFS; states/locals provide this information per agreement with the EPA Region. An EPA Region may delegate data entry rights to a state/local agency.
2. All applicable air programs should be reflected at the plant level of AFS.
3. Any applicable subpart for the NSPS, NESHAP or MACT air program at major and synthetic minor sources, minor source NESHAP and all other facilities reported as MDR. Phase-In approach of data entry limits data input to applicable subparts at sources receiving FCEs starting in FY06. Reporting of minor source NSPS and MACT subparts are optional but recommended (unless the minor source is included in the CMS universe, has a current enforcement action of <3 years old and is listed as a discretionary HPV).
4. Includes action number, action type, and date achieved. Penalty amount is also included where appropriate and should reflect assessed penalty (penalty assessed via a formal enforcement action).
5. Actions for Discovery Date are defined as: FCEs, PCEs, Title V Annual Compliance Certifications and Stack Tests. These action types should be linked into the HPV pathway. Phased-In approach for data entry requires HPV Violation Discovered Date to be reported on new HPV cases starting in FY06.
6. Examples of addressing actions include, but are not limited to: State/EPA Civil Action; State/EPA Administrative Order; State/EPA Consent Decree; Source returned to compliance by



State/EPA with no further action required. HPV Lead Agency responsible for data entry of actions into AFS, or as negotiated.

7. Examples of resolving actions include: Violation Resolved by State/EPA, State/EPA Closeout Memo Issued, Source returned to compliance by State/EPA with no further action required. HPV Lead agency responsible for data entry of actions into AFS, or as negotiated.

8. Pass/Fail codes (PP/FF) are reported in the results code field.

9. EPA reports and enters into AFS unless otherwise negotiated.

10. Results codes for Annual Compliance Certification reviews are: in compliance (MC), in violation (MV) and unknown (MU).

11. The Due Date of a Title V Annual Compliance Certification will be reported as a date scheduled on the "Title V Annual Compliance Certification Due/Received by EPA" action, and is not enforcement sensitive.

12. Annual Compliance Certification deviations(s) will be indicated in RD08 for EPA reviews (and state reviews as negotiated).

13. EPA Investigation Initiated (started) and State/EPA Investigation Conducted (finished). State Investigation Initiated is added for optional use. EPA and State Investigation Initiated (started) action types are enforcement sensitive.

14. HPV Violation Type Code is to be identified when the Day Zero is established, values are listed at:

<http://www.epa.gov/compliance/data/systems/air/afssystem.html>

HPV Pollutants are to be entered with the Day Zero action type. Phased-In approach for data entry requires HPV Violation Type Code and Violating Pollutants to be reported on new HPV cases starting in FY06.

15. Data is to be reported to AFS within 60 days of the event reported in the Date Achieved (DTA1) field of the action record for state and local agencies. Monthly updating is encouraged. Federal data is to be reported on a monthly basis.



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## SECTION 2: CLEAN AIR ACT STATIONARY SOURCE COMPLIANCE MONITORING STRATEGY (CMS) POLICY AS IMPLEMENTED IN AFS

In April 2001, the Clean Air Act (CAA) Stationary Source Compliance Monitoring Strategy (CMS) was revised to provide national consistency in developing stationary source air compliance monitoring programs. The CMS provides a framework for developing stationary source air compliance monitoring programs that focuses on achieving measurable environmental results. State, Locals, and Regions record their compliance monitoring activities and enter facility-specific compliance data in AFS.

The CMS introduces new compliance monitoring tools: Full Compliance Evaluations, Partial Compliance Evaluations, and Investigations. A Full Compliance Evaluation (FCE) is a comprehensive evaluation of the compliance status of a facility. It addresses all regulated pollutants at all regulated emission units. Furthermore, it addresses the current compliance status of each emission unit, as well as the facility's continuing ability to maintain compliance at each emission unit. A Partial Compliance Evaluation (PCE) is a documented compliance assessment focusing on a subset of regulated pollutants, regulatory requirements, or emission units at a given facility. A PCE should be more comprehensive than a cursory review of individual reports. It may be conducted solely for the purpose of evaluating a specific aspect of a facility, or combined over the course of a year to satisfy the requirements of a Full Compliance Evaluation. PCEs may include: Site Visits, Conferences, Review of Required Reports, Compliance Reviews of individual Air Programs, Emission Inventory reviews, or other activities. **It is recommended that Regional values of PCEs describe the evaluating action taking place, such as "Conference on Site" or "RATA Review".** An Investigation is limited to a portion of a facility, is more resource intensive, and involves a more in-depth assessment of a particular issue. It usually is based on information discovered during a Full Compliance Evaluation, or as the result of a targeted industry, regulatory, or statutory initiative. Also, an Investigation often requires the use and analysis of information not available in EPA data systems. It is best used when addressing issues that are difficult to evaluate during a routine FCE because of time constraints, the type of preliminary field work required, and/or the level of analytical expertise needed to determine compliance.

Additionally, stack testing is an important tool used to determine a facility's compliance with emission limits established pursuant to the CAA. CMS recognized that consistent, complete and accurate stack test information is critical in managing a national air program. Hence, the CMS recommends that States/Locals should conduct a stack test, or require the facility to conduct a stack test, whenever they deem appropriate. States/Locals should also conduct a stack test, or require the facility to conduct a stack test, when there is no other means for determining compliance with the emission limits. The data and results (Pass/Fail) of all stack tests should be entered in AFS, and the High Priority Violation (HPV) status adjusted as appropriate.



The policy focuses on Title V major and larger synthetic minor sources. These sources are marked in AFS with a CMS Category of A=Major Title V Source, M=Mega source, requiring more resources for oversight and evaluation, and S=80% Synthetic Minor sources. Since the inception of the policy, an additional category has been introduced: O=Other. This category allows States and Regions the ability to include minor or other than 80% Synthetic Minor sources into the plan, as negotiated alternatives for sources that are not be evaluated within the negotiated time frame as agreed upon with the Regional office. Along with a CMS category, each source in the plan has a recommended evaluation frequency. The default values for each category are:

A	Evaluation every 2 Years
M	Evaluation every 3 Years
S	Evaluation every 5 Years
O	No default value

The CMS policy was placed into effect during FY2001. The first two years of the policy are FY2001 - FY2003. Major sources identified in the plan should have received a Full Compliance Evaluation during this period.

CMS plans are renewed every two years, with updating allowed on an annual basis. Another feature of the plan is the ability to use AFS to generate an unknown compliance status for any CMS source that has not received a Full Compliance Evaluation within the negotiated frequency. AFS will use the date of last inspection or evaluation, compare it to the current date and then if no evaluation has been completed during the frequency period, automatically generate an unknown compliance status value of "U". AFS will maintain the generated status on the SIP or FESOP air program code, using the pollutant "FACIL". Appendix 1 contains charts that show the process of the utility to generate the unknown compliance status.

The CMS policy also includes tracking of stack test observations, and reviews completed by Regional and State staff. Previous monitoring policies did not credit in-house reviews of stack tests. Also included are the reviews of Annual Compliance Certifications from Title V sources. These new reviews are also reported to AFS and include deviations reported and reported compliance.

AFS can provide detailed listings of sources that have been identified as belonging to the CMS universe, along with dates of last evaluation. The automatic unknown compliance status generation utility will generate a "U" value to the EPA Compliance Status fields. Regional AFS Compliance Managers are encouraged to assist Regional negotiations with states by providing CMS Universe lists and identifying sources with an unknown compliance status.



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See Section 3C-Action Records for specific requirements for each CMS policy data element. For further information on the CMS policy and implementation in AFS, refer to:

<http://www.epa.gov/compliance/resources/publications/data/systems/air/cmstechman.pdf>



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## SECTION 3: USING AFS FOR COMPLIANCE/ENFORCEMENT TRACKING

### A. PLANT LEVEL RECORDS

AFS maintains a Plant General record which includes all source geographical information such as Plant Name, Street Address, City, County Name, State, Government Facility Code and Zip Code. Along with this information are optional data reporting features for mailing address, staff assigned to track the source, contact names and telephone numbers, and other miscellaneous information. This section of the compendium will document information about data on the Plant General Records. See Appendix 2 for a list and description of the fields in the AFS structure.

**1. Entering a New Plant and Identification Numbers:** The FIP State and County code plus a five-digit PCDS number are required to enter a new plant in AFS. Numbering conventions for the PCDS number are at the discretion of the delegated agency. There should be only one plant ID for each source. A plant is defined as an entity operating at a physical location contained within a fence line. Change of ownership does not affect a source number, history of the source goes to the new owner. A plant identification number should change if the facility changes physical location. A change in location not only requires a new identification number, but requires all historic information to be reestablished under the new number. It is recommended that when a new major source is established in AFS, the AFS Plant ID number (for Title V Operating Permit Data) also be established.

On June 30, 2004 the AFS Configuration Control Board approved the following procedure for plants that may relocate:

**WITHIN THE SAME STATE, SAME COUNTY:** A change of Street Address (STRT) is required. Optional records via a comment or action (Address Change) may be entered into AFS to document the address change (this optional information is strongly encouraged).

**WITHIN THE SAME STATE, DIFFERENT COUNTY:** A new SCSC is required. The Source Swap utility is available to facilitate changing the plant ID. Contact the AFS Helpline for assistance in maintaining Compliance History records.

**LOCATION CHANGE TO A DIFFERENT STATE:** Data changes for plants relocating to different states should be handled on a plant-by-plant basis, as different legal situations will apply. Should the relocation cross EPA Regional boundaries, the appropriate AFS Compliance Manager should be contacted for instructions on assigning ID numbers.



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- 2. Plant Name:** AFS has a 40-character field for Plant Name. The current plant name is to be recorded in this field, taken from a plant permit or other documents commonly used such as invoices, signs, telephone listings or other business documents. Many agencies use the name cited on the Title V permit for the Plant Name. The name should identify the owning corporation and site name, if applicable. Name changes should be entered as soon as they are identified to the delegated agency. Many agencies document a name change in the plant comments and/or Regional actions.
- 3. Latitude/Longitude:** Data in latitude/longitude fields in AFS is considered obsolete. It was owned and maintained by the Air Emission Inventory community which no longer uses AFS as its repository of data.
- 4. SIC/NAIC Codes:** AFS will accept either Standard Industrial Code (SIC) or the North American Industrial Code (NAIC) codes. The primary SIC/NAICS code should reflect the major activity at the plant. A new ad hoc acronym called **SCNC** has been created and will function like an “OR” operator between SIC and NAICS code searches in ad hoc retrievals. This new search acronym can be used to search for plants that have a SIC or NAICS code that matches the specified value given by the user in any ad hoc retrieval. It compares the User-specified value with the primary SIC code and the NAICS code on the Plant-General record. If the SCNC value is 4 digits long, it will be compared against the plant’s SIC code. If the SCNC value is 6 digits long, it will be compared against the plant’s NAICS code. SCNC values of lengths other than 4 or 6 will return nothing as these codes do not exist in AFS.
- 5. State Registration Number:** Although this is an optional reporting field, it is encouraged that agencies populate their own system number in AFS for reference. This field can be used to facilitate reconciliation of state systems to AFS.
- 6. Governmental Facility Code:** This field identifies sources owned or operated by different levels of government. Although identification of the owner/operator can be defined down to the municipal level, at a minimum any Federally owned/operated source needs to be defined.
- 7. Portable Sources:** The County Code of “777” is to be used for reporting portable sources to AFS. A portable source is defined as a process that may or may not be permitted but can be moved from place to place, for example, an Asphalt Processing Plant is movable from site to site and can emit pollutants above the major threshold level. The Facility Registry System (FRS) and ENVIROFACTS web site will map and present sources with a “777” county number as located at the center of the county identified by the Plant City Name.
- 8. Archiving Closed Sources:** Sources should be archived from the production mode of AFS after five years of no activity. It is recommended that state and local users of AFS contact their





Regional AFS Compliance Manager before archiving sources, as some regions have instituted procedures for class change, deletion of plants, and archiving.

## B. AIR PROGRAM AND AIR PROGRAM POLLUTANT RECORDS

1. **Air Programs**: An Air Program code in AFS defines a regulatory program of the Clean Air Act applicable to a facility. **All applicable air program codes are to be reported.** In cases where State or Local delegations incorporate stricter requirements than the federal regulatory program, reporting of the federal air program is sufficient. A plant must have at least one applicable air program with one air program pollutant in order to be established in AFS. Air program codes are also necessary for reporting actions in AFS, and must be established on Screens 302/303 (Air Program Update and Air Program Pollutant Update) before use in an action record. Permits issued to a source will document the applicable air programs and can be used as a source of data for this field.

a. **Air Program Operating Status**: An operating status must be reported for each air program. The Operating Status represents the operational condition of a plant associated with a given air program. The most significant value will bubble up to the Plant General Record. The value of most significant operative value to least is: O=Operating, L=Landfill, R=NESHAP Renovation, D=NESHAP Demolition, S=NESHAP Spraying, I=Seasonal, T=Temporarily Closed, C=Under Construction, P=Planned Facility, X=Permanently Closed. Statuses O, T, and I are used in the National RECAP reporting measures. Values L=Landfill, R=NESHAP Renovation, and D=NESHAP Demolition and S=NESHAP Spraying are considered obsolete.

b. **Applicable Air Program Codes**:

- 0 State Implementation Plan (SIP)
- 1 SIP Source Under Federal Jurisdiction
- 3 Non-Federally Reportable Source
- 4 Chlorofluorocarbons (CFC) Tracking
- 6 Prevention of Significant Deterioration (PSD)
- 7 New Source Review (NSR)
- 8 National Emission Standards for Hazardous Air Pollutants (NESHAP)
- 9 New Source Performance Standards (NSPS)
- A Acid Precipitation
- I Native American
- M Maximum Achievable Control Technology (MACT) Section 63 NESHAP
- V Title V Permits

Air program code definitions continue:



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<u>Code</u>	<u>Description</u>
0	<p><b><u>STATE IMPLEMENTATION PLAN (SIP)</u></b></p> <p>Section 110 of the Clean Air Act requires each state to adopt and submit to EPA for approval a SIP that provides for the maintenance, implementation and enforcement of the National Ambient Air Quality Standards (NAAQS). Each SIP must include a permit program to regulate the modification and construction of any stationary source of air pollution, including stationary sources in attainment and nonattainment areas of the state, as necessary to assure that NAAQS are achieved. SIP requirements are federally enforceable under Section 113 of the Act. Reference 40 CFR Part 52. The SIP air program is considered applicable to each Federally Reportable stationary source in AFS. Additional reporting requirements for SIP are promulgated as standards for various industrial categories. These standards are reported as subparts to the SIP, and are identified using the same subpart identification as the New Source Performance Standards (NSPS). Reporting of SIP subparts are optional, see Air Program Code 9, New Source Performance Standards (NSPS) for a list of applicable subparts.</p>
1	<p><b><u>SIP SOURCE UNDER FEDERAL JURISDICTION (FIP)</u></b></p> <p>Under current law, a federally implemented plan to achieve attainment of air quality standards is used when a state is unable to develop an adequate plan, or if jurisdiction does not exist. Sources located on Indian Land should reflect the Native American air program code.</p>
3	<p><b><u>NON-FEDERALLY REPORTABLE</u></b></p> <p>Used to report State/Local/Tribal requirements not defined as federally reportable [reference Section 1, Minimum Data Requirements (MDRs)].</p>
4	<p><b><u>CHLOROFLUOROCARBONS (CFC) TRACKING</u></b></p> <p>Under Title VI of the Clean Air Act, EPA is responsible for several programs that protect the stratospheric ozone layer. These programs include: Motor Vehicle Air Conditioning; Stationary Refrigeration and Air Conditioning, Halon Blends and Handling; Phase-out of Ozone Depleting Substances; Methyl Bromide; Nonessential Products Ban; Product Labeling, and Federal Procurement. Reference 40 CFR Part 82. This program is not delegated to State, Local, or Tribal agencies. Evaluations completed at a source with only the CFC air program should be reported as an FCE, evaluations completed at sources with multiple air programs should be reported as PCEs.</p>
6	<p><b><u>PREVENTION OF SIGNIFICANT DETERIORATION (PSD)</u></b></p> <p>Part C of the Clean Air Act sets requirements for the prevention of significant deterioration (PSD) of air quality in those areas designated as either attainment or unclassifiable for purpose of meeting the National Ambient Air Quality (NAAQS) standards. These requirements are designed to protect public health and welfare, to</p>



assure that economic growth will occur in a manner consistent with the preservation of existing clean air resources and to assure that any decision to permit increased air pollution is made only after careful evaluation of all the consequences of such a decision and after public participation in the decision making process. PSD prohibits the construction and operation of a major emitting facility in an area designed as attainment or unclassifiable unless a permit has been issued that compiles with Section 165 of the Act, including the requirement that the facility install the best available control technology for each pollutant subject to regulation.

7 NEW SOURCE REVIEW (NSR)

New Source Review is a preconstruction permitting program that serves two important purposes:

- a. It ensures the maintenance of air quality standards when factories, industrial boilers and power plants are modified or added. In areas with unhealthy air, NSR assures that new emissions do not slow progress toward cleaner air. In areas with clean air, especially pristine areas like national parks, NSR assures that new emissions fall within air quality standards. Emission calculations are completed using potential emissions.
- b. The NSR program assures that state of the art control technology is installed at new plants or at existing plants that are undergoing a major modification.

In August 2003, EPA issued a final rule that creates a category of activities that automatically will be considered routine maintenance, repair and replacement (RMRR) under the NSR permitting program. The rule defines a process unit, delineates the boundary of a process unit, defines a “functionally equivalent” component, and defines basic design parameters for electric utility steam generating units and other types of process units. See [http://www.epa.gov/ttn/nsr/rule\\_dev.html](http://www.epa.gov/ttn/nsr/rule_dev.html) for a copy of this rule.

8 NATIONAL EMISSION STANDARDS FOR HAZARDOUS AIR POLLUTANTS (NESHAP PART 61)

Section 112 of the Clean Air Act identifies substances that have been designated as hazardous air pollutants (HAPs), known for serious health effects, including cancer, from ambient air exposure. HAPs include: Asbestos, benzene, beryllium, coke oven emissions, inorganic arsenic, mercury, radio nuclides and vinyl chloride. Reference 40 CFR Part 61. Additional reporting requirements for NESHAP are promulgated as standards for various industrial categories. These standards are identified as subparts to the NESHAP, and can be reported to AFS in the 302/502 (Air Program) screen. Subpart reporting is not mandatory. The subparts listed below were extracted from AFS on April 26, 2004:

**40 CFR P 61 (NONMACT NESHAP) SUBPART**

- B RADON FROM UNDERGROUND URANIUM MINES
- BB BENZENE EMISS FROM BENZENE TRANSFR OPER
- C BERYLLIUM
- D BERYLLIUM ROCKET MOTOR FIRING
- E MERCURY
- F VINYL CHLORIDE
- FF BENZENE WASTE OPERATIONS
- H RADIONUCS OTR THN RADON FROM DPT OF ENGY
- I RADIONUCS NRC LICNSD OR FEDRL, NOT SUB-H
- J EQUIP LEAK (FUGITIVE EMISS SRC) BENZENE
- K RADIONUCS FROM ELEMENTAL PHOSPHORUS PLNT
- L BENZENE FROM COKE BY-PRODUCT RECOVERY
- M ASBESTOS
- N INORGANIC ARSENIC, FROM GLASS MANUFACT
- O INORG ARSENIC FROM PRIMARY COPPER SMLTR
- P INORG ARSENIC, ARS TRIOXIDE, METAL ARS
- Q RADON FROM DOE FACILITIES
- R RADON FROM PHOSPHOGYMSUM STACKS
- T RADON, DISPOSAL OF URANIUM MILL TAILINGS
- V EQUIPMENT LEAKS (FUGITIVE EMISSIONS SRC)
- W RADON FROM OPERATING MILL TAILINGS
- Y BENZENE EMISS FROM BNZN STORAGE VESSELS

**9 NEW SOURCE PERFORMANCE STANDARDS (NSPS PART 60)**

Section 111 of the Clean Air Act requires EPA to publish a list of categories of stationary sources that emit or may emit any air pollutant, and to establish federal standards of performance for new sources of air pollutants. The list must include categories of sources which are determined to cause or significantly contribute to air pollution which may endanger public health or welfare. "New sources" are defined as stationary sources, the construction or modification of which is commenced after the publication of the regulations or proposed regulations prescribing a standard of performance applicable to such source. Reference 40 CFR Part 60. Additional reporting requirements for NSPS are promulgated as standards for various industrial categories. These standards are reported as subparts to the NSPS and also to the SIP. Reporting of NSPS or SIP subparts is optional. As all subpart identifiers are added to AFS as upper-case letters, a conflict with certain subparts using upper and lower case letters has required a special character use for proper identification of the subpart. Two NSPS subparts have been identified with conflicting upper and lower case letters. The AFS Control Configuration Board (CCB) approved the following data entry procedure on June 30, 2004 for use in uniquely identify the following subparts:



AA/A will report Aaa: Standards of Performance for Steel Plants: Electric Arc Furnaces and Argon-Oxygen Decarburization Vessels Constructed after August 7, 1983

AAA will continue to report AAA: New Residential Wood Heaters

C/C will report Cc: Municipal Solid Waste Landfills

CC will continue to report CC: Standards of Performance for Glass Manufacturing Plants

The use of the “/” character before a lower case letter will provide unique identification of the subpart within AFS.

The subparts listed below were extracted from AFS on July 2, 2004:

**40 CFR P 60 NSPS/SIP SUBPARTS**

AA ELEC-ARC STEEL FURNACE 10/21/74-8/17/83  
AA/A EL-ARC FRN, ARGON-02 DECARB VESSL 8/7/83  
AAA NEW RESIDENTIAL WOOD HEATERS  
BB KRAFT PULP MILLS  
BBB RUBBER TIRE MANUFACTURE  
C/C MUNICIPAL SOLID WASTE LANDFILLS  
CC GLASS MANUFACTURING PLANT  
CCCC COMMERCIAL & INDUSTRIAL SOLID WASTE  
INCINERATORS CONSTRUCTED  
CE EXISTING HOSPITAL/MEDICAL/INFECTIOUS WASTE  
INCINERATORS  
D FOSSIL FUEL GENER BUILT AFTER 8/17/71  
DA ELEC UTIL STEAM GENER AFTER 9/18/78  
DB INDUS-COMMERC-INSTITUTL STEAM GENERATOR  
DC SMALL INDUS-COMMER-INSTITUTL STEAM GENER  
DD GRAIN ELEVATORS  
DDD VOC EMISS FROM POLYMER MANUFACTURING  
E INCINERATORS  
EA MUNICIPAL WASTE COMBUSTORS  
EC NEW HOSPITAL/MEDICAL/INFECTIOUS WASTE  
INCINERATORS  
EE SURFAC COATING OF METAL FURNITURE  
F PORTLAND CEMENT PLANTS  
FFF FLEXIBLE VINYL/URETHANE COATING/PRINTING  
G NITRIC ACID PLANTS  
GG STATIONARY GAS TURBINES



GGG EQUIP VOC LEAKS PETROLEUM REFINERIES  
H SULFURIC ACID PLANTS  
HH LIME MANUFACTURING PLANTS  
HHH SYNTHETIC FIBER PRODUCTION FACILITIES  
I ASPHALT CONCRETE PLANTS  
III VOC EMISS OF SOCM I AIR-O2 UNIT PROCESS  
J PETROLEUM REFINERIES  
JJ PETROLEUM DRY CLEANERS  
K PETROLEUM STORAGE VESSEL 6/11/73 5/19/78  
KA PETROLEUM STORAGE VESSEL 5/19/73 7/23/84  
KB VOLATILE LIQ/PETRO STORAGE VESSEL 7/23/84  
KK LEAD-ACID BATTERY MANUFACTURING PLANTS  
KKK VOC EMISS, ONSHORE NATURAL GAS PROC PLNT  
L SECONDARY LEAD SMELTERS  
LL METALLIC MINERAL PROCESSING PLANTS  
LLL SO2 EMISS, ONSHORE NATURAL GAS PROC PLNT  
M SECONDARY BRASS & BRONZE PRODUCTN PLANTS  
MM AUTO/LT-DUTY TRK SURFACE COATING OPERATN  
N PRIMARY EMISS BASIC O2 PROCESS FURNACES  
NA SECNDRY EMISS BASIC O2-PROC STEEL FACIL  
NN PHOSPHATE ROCK PLANTS  
NNN VOC EMISS OF SOCM I DISTILLATION OPERATN  
O SEWAGE TREATMENT PLANTS  
OOO NONMETALLIC MINERAL PROCESSING PLANTS  
P PRIMARY COPPER SMELTERS  
PP AMMONIUM SULFATE MANUFAC  
PPP WOOL FIBERGLASS INSULATION PRODUCTION - NSPS  
Q PRIMARY ZINC SMELTERS  
QQ GRAPH ART: PUBLICATION ROTOGRAVURE PRINT  
QQQ VOC EMISS PETRO REFINERY WATERWASTE SYS  
R PRIMARY LEAD SMELTERS  
RR PRESSR-SENST TAPE, LABEL SURFACE COATING  
RRR SOCM I REACTOR  
S PRIMARY ALUMINUM REDUCTION PLANTS  
SS LARGE APPLIANCES  
SSS MAGNETIC TAPE COATING  
T PHOSPHATE FRTLZR: WET-PROC PHOSPH ACID  
TT METAL COIL SURFACE COATING  
TTT IND-SURF-COAT: PLASTICS, BUSINESS MACHNS  
U PHOSPHATE FRTLZR: SUPERPHOSPHORIC ACID  
UU ASPHALT PROCESSING & ROOFING MANUFACTURE



UUU CALCINERS/DRYERS IN MINERAL INDUSTRIES  
V PHOSPHATE FRTLZR: DIAMMONIUM PHOS PLANT  
VV EQUIPT VOC LEAKS IN SYNTH-ORGAN-CHEM MFG  
VVV POLYMERIC COATING OF SUPPORTING SUBSTRATS  
FACILITIES - NSPS  
W PHOSPHATE FRTLZR: TRIPLE SUPERPHOS PLNT  
WW BEVERAGE CAN SURFACE COATING  
WWW MUNICIPAL SOLID WASTE LANDFILLS  
X PHOSPHATE FRTLZR: GRANULAR 3-SUPER STOR  
XX BULK GASOLINE TERMINALS  
Y COAL PREPARATION PLANTS  
Z FERROALLOY PRODUCTION FACILITIES

**A** ACID PRECIPITATION

The Acid Rain Program requires major reductions of sulfur dioxide and nitrogen oxide emissions (key components of acid rain) from electric utilities, while establishing a new approach to environmental protection through the use of market incentives, a “cap and trade” process. Affected sources are required to install systems that continuously monitor emissions in order to track progress, ensure compliance, and provide credibility to the trading component of the program. Regulated sources must report all emissions as measured by continuous emissions monitors. EPA has established standard reporting procedures and has issued standard software for such reporting. Emissions are submitted to the Emissions Tracking System (ETS) using ETS-FTP software. Although AFS users are encouraged to identify and track CFC tracking sources, the tracking of this program is done in the ETS-FTP software. See <http://www.epa.gov/airmarkt/reporting/edr21/index.html> for more information on reporting Acid Rain emissions.

**F** FEDERALLY ENFORCEABLE STATE OPERATING PERMIT PROGRAM (FESOP)

This program (usually through SIP revision) provides a mechanism for states to establish federally enforceable State operating permits limiting the potential to emit for sources to remain below the applicability threshold for the operating permits program of Title V of the Clean Air Act (CAA). This program is available to allow States to issue FESOPs to small sources and exempt them from the Title V review, as the large number of small sources could be a resource burden on both the agency and the small sources. FESOP provides the mechanism to establish federally enforceable limits on sources’ potential to emit below the Title V threshold. This air program is used for reporting sources classified as Synthetic Minor (SM).

**I** NATIVE AMERICAN



This program is used to identify sources located on Indian Lands. Sources do not have to be operated by tribal entities, but are subject to Tribal authority. In the absence of a Tribal Authorization Rule (TAR) or Implementation Plan (TIP), this air program will be used to identify any source subject to Tribal rule. All other applicable air programs need to be identified.

**M    MAXIMUM ACHIEVABLE CONTROL TECHNOLOGY (MACT) PART 63**

The EPA is directed to use technology-based and performance-based standards to significantly reduce routine emissions of hazardous air pollutants of facilities within an industry group or source category. The NESHAP standards implemented in 1990 regulate specific categories of stationary sources. The standards of this part are independent of NESHAP. A MACT standard is based on emission levels that are already being achieved by the lower-emitting sources of an industrial sector. Eight years after a MACT standard is issued, EPA must assess the remaining health risks in the categories and may implement additional standards to care for any remaining risk. Reference 40 CFR Part 63. See <http://www.epa.gov/ttn/atw/socatlst/socatpg.html> for a listing of all source categories and promulgation schedules. The subparts listed below were extracted from AFS on July 5, 2005:

**40 CFR P 63 (MACT NESHAP) SUBPARTS**

- A    GENERAL PROVISIONS**
  - AA    TSDF & DISPOSAL FACILITIES & HAZ. WASTE GENERATORS**
  - AAAA   MUNICIPAL SOLID WASTE LANDFILLS**
  - AAAAA   LIME MANUFACTURING**
- B    REQ FOR CONTROL TECHNOLOGY DETERMINATIONS FOR MAJOR SOURCES**
  - BB    PHOSPHATE FERTILIZERS**
  - BBBBB   SEMICONDUCTOR MANUFACTURING**
- C    DE-LISTINGS**
  - CC    PETROLEUM REFINERIES**
  - CCC   WASTEWATER STEEL PICKLING**
  - CCCC   MANUFACTURING OF NUTRITIONAL YEAST**
  - CCCCC   COKE OVENS: PUSHING, QUENCHING AND BATTERY STACKS**
- D    COMPLIANCE EXTENSION, EARLY HAP REDUCTN**
  - DD    OFF-SITE WASTE AND RECOVERY OPERATIONS**
  - DDD   MINERAL WOOL PRODUCTION**
  - DDDD   PLYWOOD AND COMPOSITE WOOD PRODUCTS**
  - DDDDD   INDUSTRIAL/COMMERCIAL/INSTITUTIONAL BOILERS & PROCESS HEATER**





E APPROVAL OF STATE PROGRAMS & DELEGATION OF  
AUTHORITY  
EE MAGNETIC TAPE MFG. OPERATIONS  
EEE ALL HAZARDOUS WASTE INCINERATORS  
EEEE ORGANIC LIQUIDS DISTRIBUTION (NON-GASOLINE)  
EEEEEE IRON AND STEEL FOUNDRIES  
F SYNTHETIC HAZARDOUS ORGANICS  
FFFF MISCELLANEOUS ORGANIC CHEMICAL  
MANUFACTURING (MON)  
FFFFF INTEGRATED IRON AND STEEL MANUFACTURING  
G STORAGE OF HAZARDOUS ORGANICS  
GG AEROSPACE MFG. & REWORK  
GGG PHARMACEUTICAL MANUFACTURING  
GGGG SOLVENT VEGETABLE OIL EXTRACTION  
GGGGG SITE REMEDIATION  
H EQUIPMENT LEAKS OF HAZARDOUS ORGANICS  
HH OIL AND NATURAL GAS PRODUCTION FACILITIES  
HHH NATURAL GAS TRANSMISSION & STORAGE FACILITIES  
HHHH WET FORMED FIBERGLASS MAT PRODUCTION  
HHHHH MISCELLANEOUS COATING MANUFACTURING  
FACILITIES  
I NEGOTIATED REGS: EQUIP LEAKS, HAZ-ORGNCS  
II SHIPBUILDING & SHIP REPAIR  
III FLEXIBLE POLYURETHANE FOAM PRODUCTION  
IIII SURFACE COATING OF AUTO AND LIGHT DUTY TRUCKS  
IIIII MERCURY CELL CHLOR-ALKALI PLANTS  
J POLYVINYL CHLORIDE AND COPOLYMERS PRODUCTION  
JJ WOOD FURNITURE  
JJJ GROUP IV POLYMERS AND RESINS  
JJJJ NESHAP FOR PAPER & OTHER WEB SURFACE COATINGS  
JJJJJ BRICK & STRUCTURAL CLAY PRODUCTS  
KK PRINTING & PUBLISHING  
KKKK METAL CAN  
KKKKK CLAY CERAMICS MANUFACTURING  
L COKE OVEN BATTERIES  
LL PRIMARY ALUMINUM REDUCTION PLANTS  
LLL PORTLAND CEMENT PLANTS  
LLLLL ASPHALT PROCESSING AND ASPHALT ROOFING  
MANUFACTURING  
M DRY CLEANERS  
MM PULP MILL CHEMICAL RECOVERY BOILER



MMM PESTICIDE ACTIVE INGREDIENT PRODUCTION  
MMMM MISC. METAL PARTS AND PRODUCTS SURFACE  
COATING OPERATIONS  
MMMMM FLEXIBLE POLYURETHANE FOAM FABRICATION  
OPERATIONS  
N CHROMIUM ELECTROPLATING  
NNN WOOL FIBERGLASS MANUFACTURING  
NNNN SURFACE COATING OF LARGE APPLIANCES  
NNNNN HYDROCHLORIC ACID PRODUCTION  
O ETHYLENE OXIDE STERILIZERS  
OO OFF-SITE WASTE AND RECOVERY OPERATIONS - TANK  
STANDARDS  
OOO MANUFACTURE OF AMINO/PHENOLIC RESINS 40 CFR  
63.1419  
OOOO PRINTING, COATING AND DYEING OF FABRICS AND  
OTHER TEXTILES  
PP OFF-SITE WASTE AND RECOVERY OPERATIONS -  
CONTAINER STANDARDS  
PPP POLYETHER POLYOLS PRODUCTION - MACT NESHAP  
PPPP PLASTIC PARTS (SURFACE COATING)  
PPPPP ENGINE TEST CELLS/STANDS  
Q INDUSTRIAL PROCESS COOLING TOWERS  
QQ OFF-SITE WASTE AND RECOVERY OPERATIONS -  
SURFACE IMPOUNDMENT  
QQQ PRIMARY COPPER  
QQQQ SURFACE COATING OF WOOD BUILDING PRODUCTS  
QQQQQ FRICTION MATERIALS MANUFACTURING FACILITIES  
R GASOLINE DISTRIBUTION  
RR OFF-SITE WASTE AND RECOVERY OPERATIONS -  
INDIVIDUAL DRAIN SY  
RRR SECONDARY ALUMINUM PRODUCTION  
RRRR SURFACE COATING OF METAL FURNITURE  
RRRRR TACONITE IRON ORE PRODUCTION  
S PULP AND PAPER  
SS NATL EMISS STD- CLOSED VENT SYS/CTRL DEVICES, 40 CFR  
63.980  
SSSS METAL COIL  
SSSSS REFRACTORY PRODUCTS MANUFACTURING  
T HALOGENATED SOLVENT CLEANING  
TT EQUIPMENT LEAKS - CONTROL LEVEL 1  
TTT PRIMARY LEAD SMELTERS



TTTT LEATHER FINISHING OPERATIONS  
TTTTT PRIMARY MAGNESIUM  
U ELASTOMERS & SYNTHETIC RUBBER PRODUCTION  
(POLYMERS/RESINS G1  
UU NTL EMISS. STD FOR EQUIP LEAKS-CONTROL 2 STD, 40 CFR  
63.1019  
UUU NESHAP FOR PETROLEUM REFINERIES: CCU'S, CRU'S &  
SRU'S  
UUUU CELLULOSE PRODUCT MANUFACTURING  
UUUUU ELECTRIC UTILITY STEAM GENERATING UNITS  
VV OFF-SITE WASTE & RECOVERY - OIL-WATER &  
ORGANIC-WATER SEPARA  
VVV PUBLICLY OWNED TREATMENT WORKS - MACT NESHAP  
VVVV NEW AND EXISTING BOAT MANUFACTURING FACILITIES  
W EPOXY RESINS & NON-NYLON POLYAMIDES PRODUCTION  
WW NATL EMIS STD - STORAGE VESSELS (TANKS), 40 CFR  
63.1060  
WWW REINFORCED PLASTIC COMPOSITES PRODUCTION  
X SECONDARY LEAD SMELTERS  
XXX FERROALLOY PRODUCTION  
XXXX RUBBER TIRE MANUFACTURING  
Y MARINE TANK VESSEL LOADING &  
UNLOADING OPERATIONS  
YY GENERIC MACT STANDARDS  
YYYY COMBUSTION TURBINES  
ZZZZ RECIPROCATING INTERNAL COMBUSTION ENGINES  
(RICE)

**V TITLE V OPERATING PERMITS**

Reference 40 CFR Part 70. The Final Rule (July 31, 1992) established an operating permit program for States to develop programs for issuing operating permits to all major stationary sources and to certain other sources. Title V does not impose new requirements, it does provide a permit to operate that assures compliance with all applicable requirements. It allows the delegated agency the authority to collect permitting fees. All permits are required to contain standard permit requirements that specify and reference the origin of authority for each applicable term or condition, the duration of the permit (not to exceed 5 years), the monitoring and related recordkeeping and reporting requirements, emissions trading allowed, Federally-enforceable and compliance requirements. Any operating source with Title V permit application pending should have the "V" air program code with the operating status of "P" for pending



entered in AFS. Once the permit has been issued, the operating status should be upgraded to “O” for operating.

## 2. Air Program Pollutant Records:

- a. Pollutant Code or Chemical Abstract Number: Each source in AFS requires at least one air program code and at least one pollutant. Pollutants are reportable using either a five-digit pollutant code or a Chemical Abstract Service Number (CASN). AFS has tables listing all pollutant codes and CASNs. If the Pollutant Code is used and an equivalent CASN exists for the code, AFS will populate the CASN automatically. If the CASN is entered and an equivalent Pollutant Code exists, AFS will populate the Pollutant Code automatically.
- b. Classification: AFS requires the user to report a category identifying the potential amount of pollutants emitted per year. Criteria pollutant (CO, SO<sub>2</sub>, VOC, Pb, NO<sub>2</sub>, Particular Matter) classification uses an emissions threshold identified by EPA establishing major thresholds based on a attainment with National Ambient Air Quality Standards (NAAQS). Major emission thresholds are 100 tons or more per year in an area that is currently in attainment. Attainment/Nonattainment designations can be found at <http://www.epa.gov/oar/oaqps/greenbk/>. EPA has the ability to document a classification value separate from the state/local value. Nonattainment designations will decrease the emissions thresholds:

Pollutant	Nonattainment Classification	Threshold (Tons per Year)
Ozone	Marginal	100
Ozone	Moderate	100
Ozone	Serious	50
Ozone	Severe	25
Ozone	Extreme	10
CO	Moderate	100
CO	Serious	50
PM-10	Moderate	100



Pollutant	Nonattainment Classification	Threshold (Tons per Year)
PM-10	Serious	70

Emission thresholds for Hazardous Air Pollutants (HAPs) are sources with the potential to emit (controlled or uncontrolled) 10 tons of any one HAP, or 25 tons of any combination of HAPs (reference Section 112(a)). Source Classification values are:

- A Major emissions
- SM Synthetic Minor emissions (Potential to emit at the major threshold but due to operation restrictions or other controls emit at the minor level)
- B Minor emissions
- C Emissions unknown

Values A, SM, B, and C are considered the valid values for this field. Other values current supported (A1, A2, ND or UK) should not be used.

AFS will bubble up the highest classification value from the air program records to the Plant General records (DCL1-Default Class, ECL1-EPA Class, SCL1-State Class). In order to prevent bubble up values from air programs with a Permanently Closed operating status, AFS will exclude operating status values from permanently closed facilities unless there is only one air program at the plant.

- c. Compliance Status: Each pollutant must have a corresponding compliance status. Compliance is defined within 4 categories: In Violation, In Compliance, Meeting Schedule, and Unknown Compliance. EPA has the ability to record a compliance status in addition to the state/local compliance value.

The following definition of compliance with the Clean Air Act is extracted from *The Timely and Appropriate (T&A) Enforcement Response to High Priority Violations (HPVs)*, June 1999:

“In Compliance means all Federal and State administrative and judicial action against the source is complete and the source has been confirmed to be complying with the CAA. This term, as it is used in the HPV Policy, refers to a source being in compliance with all aspects of CAA requirements, not simply their emission limit.”



A source with pending enforcement activity is considered in violation or meeting a schedule until all penalties are completely paid, all injunctive relief, supplemental enforcement actions, civil and judicial activity are completed. Unaddressed High Priority Violators must be listed in violation until addressed: status is then changed to Meeting Schedule until resolution. Valid values for compliance status are listed in order of worst case scenario to best, suggested use is highlighted in bold:

### **VIOLATION**

**B In violation with regard to both emissions and procedural compliance**

1 In Violation - No schedule

6 In violation - Not meeting schedule

**W In violation with regard to procedural compliance**

### **UNKNOWN COMPLIANCE**

Y Unknown with regard to both emissions and procedural compliance

0 Unknown compliance status

**A Unknown with regard to procedural compliance**

**7 In Violation - Unknown with regard to schedule**

U Unknown by Evaluation Calculation (Generated value - not available for input)

### **MEETING SCHEDULE**

**5 Meeting Compliance Schedule**

### **IN COMPLIANCE**

**C In compliance with procedural requirements**

**4 In Compliance - Certification (Used in reporting Title V Annual Compliance Certifications)**

3 In Compliance - Inspection

**M In Compliance - CEMS**

**2 In Compliance - Source Test**

**8 No Applicable State Regulation****9 In Compliance - Shut Down****P Present, See other programs (This compliance status is a place holder used to avoid assigning a state compliance status when the state has not supplied a value.)**

- d. Attainment/Nonattainment Indicator: Criteria pollutants (VOC, SO<sub>2</sub>, NO<sub>2</sub>, Pb, Particular Matter, CO) have attainment designations that need to be recorded in AFS. These indicators are not automatically generated and must be supplied by the user. Reference the EPA Green Book (<http://www.epa.gov/oar/oaqps/greenbk/>) for the most recent designation values. EPA has a value available separately from the state value. EPA values will be populated on a routine basis as approved by the Regional AFS Compliance Manager. States and Local Agencies may request blanket population of the State values (counties with partial designations will not be populated) by contacting their Regional AFS Compliance Manager.

**C. ACTION RECORDS**

1. Fields: These activities are reported to AFS via an Action Record (Screen 306 for update/Screen 507 for browse) and contain the following components (note that required fields are highlighted by **BOLD** text):

**FIELDS****KEY ACTION****AIR PROGRAM CODE(S)****ACTION TYPE****DATE SCHEDULED****DATE ACHIEVED****RESULTS CODE****PENALTY AMOUNT****RDE8****NOTES****(Y-YES OR N-NO)****At least one—and all that are applicable****A Regional Action Type. Actions which are MDRs require mapping to a National Action type.****Required for certain actions****Either the Date Scheduled or Date Achieved is required.****Date Achieved must be applied for application in RECAP reports.****As applicable, required for certain actions****Required if assessed****As applicable, required for certain actions**



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STAFF CODE	Optional
POLLUTANT CODE	As applicable
CONTRACTOR ID	Optional-considered obsolete
RDE 16	Optional

**KEY ACTION:** This field defaults to a NO value. Direct users of AFS must indicate a “Y” for YES value if the action is the key for an High Priority Violator (HPV) or Non-HPV pathway. Batch users of AFS trigger this value by supplying the Key Action Number on the action transaction. Identification of a key action is mandatory for action linking in HPV or Non-HPV pathways.

**AIR PROGRAM CODE(S):** Any applicable air program for a reported activity should be listed on the action record. AFS will not accept an air program code that has not been documented in Screens 302 (update) and Screen 502 (browse). Users should not enter only one air program if more programs are applicable for the activity reported. Valid values are:

- 0 State Implementation Plan (SIP)
- 1 SIP Source Under Federal Jurisdiction
- 3 Non-Federally Reportable Source
- 4 Chlorofluorocarbons (CFC) Tracking
- 6 Prevention of Significant Deterioration (PSD)
- 7 New Source Review (NSR)
- 8 National Emission Standards for Hazardous Air Pollutants (NESHAP)
- 9 New Source Performance Standards (NSPS)
- A Acid Precipitation
- I Native American
- M Maximum Achievable Control Technology (MACT) Section 63 NESHAP
- V Title V Permits

**ACTION TYPE:** This field is the **Regional Action Type** identifying the activity. Each EPA Region has its own action type table (see Appendix 3 where tables for each Region provide a listing of suggested action types for reporting ), with values mapping into the National Action Type tables. Users do not report activity using a National Action Type. The 2-digit Regional Action Type is predefined in an action table. AFS will not accept a value that is not on record in the table. Users can use a special code of “00” which is used in instances where the action table does not have a valid value for use, and is not expected to be a recurring activity. For example:





A source with an active High Priority Violator (HPV) pathway suffers a fire, destroying most of the source. As this activity is important to the HPV information, an AFS user may want to include this information in the HPV pathway. There is no action type in the Regional table describing a fire. The user can report the fire using action type "00" with a mandatory description of "Fire". Use of action type "00" requires the entry of a short description of the action. The Regional AFS Compliance Manager should be contacted for addition of action types to the Regional table.

When requesting a new Regional Action Type or a change to an existing type, please provide the following information to the appropriate Regional AFS Compliance Manager. This information will be submitted to the System Administrator for application to the table:

- Regional Table to be changed:
- Action Type to be added/changed:
- Action Definition:
- Action Description-Long (up to 50 characters):
- Action Description-Short (up to 15 characters):
- Linkage to National Action Type:

**DATE SCHEDULED:** AFS provides space for reporting the scheduled date of an activity. This field is optional reporting for most activities but can be required in Compliance Monitoring Strategy (CMS) reporting. The reporting parameter is YYMMDD, with YY representing the last two digits of a year (example: 2003 is reported as 03), MM as the 2-digit month (example: June is reported as 06), and DD as the day of the month. Date Scheduled is an Enforcement Sensitive field, with the exception of National Action Type CB or CC (Title V Annual Compliance Certification Due/Received by the Permit Authority or EPA), and any regional action type mapped to it. Either the Date Scheduled or Date Achieved is mandatory for action reporting.

**DATE ACHIEVED:** This field is most frequently reported, and reflects the final date of an activity. Please see discussions of individual action types for the definition of Date Achieved. The reporting parameter is YYMMDD, with YY representing the last two digits of a year (example: 2003 is reported as 03), MM as the 2-digit month (example: June is reported as 06), and DD as the day of the month. Either the Date Scheduled or Date Achieved is mandatory for action reporting.

**RESULTS CODE:** A two-digit alphanumeric code used to indicate the result of an activity. The code must be a valid value on the Results Table. Each Region maintains its own Results Code



Table. This field is optional for most activity, but mandatory for Stack Test and Annual Compliance Certification Reviewed reporting.

**PENALTY AMOUNT:** This field reports dollar amounts of penalties. In formal enforcement actions, it defines the dollar amount of any cash penalty that is either 1) assessed (required) by an administrative order, consent agreement/order, or consent decree; or 2) proposed under a civil referral or civil filing. No decimal values are entered. See Section 5 for in-depth discussion of the use of the Penalty field. In Supplemental Environmental Projects, the penalty field reports the dollar value of the project. Penalties exceeding the seven-digit limit of the PAM1 field in AFS can be reported by entering the alpha K after the value of thousands of dollars.

**REGIONAL DATA ELEMENT 8 (RDE 8):** This 2-digit field is optional for most activities, but required in Annual Compliance Certification deviation reporting (an EPA requirement). It is defined by users and used to maintain information relating to a plant action. In Title V Annual Compliance Certification reporting, this field identifies a compliance status.

**STAFF CODE:** A 3-digit code identifying a staff member responsible for or associated with an action. This code must be a valid value on the Staff Code table. Entry of values on the Staff Code table requires a special access code on the user's security profile. Normally access to update the Staff Code Table is provided to one user per state or local agency. Use of the Staff Code field is optional to all users.

**POLLUTANT CODE:** A five-digit code identifying the pollutant of record for an action. Reporting of the pollutant code is recommended for HPV Key Actions. Pollutant code may be reported on stack test actions (recommended but not required).

**CONTRACTOR ID:** Use of this field is optional. The Contractor ID is a 12-digit alphanumeric field used to identify asbestos contractors. The ID must be a valid value from the Contractor ID Table. This field is considered obsolete.

**REGIONAL DATA ELEMENT 16 (RDE 16):** This 25-digit optional field is defined by users and used to maintain information relating to plant level actions.

**ASSOCIATED DAY ZERO (KEY ACTION NUMBER):** This field identifies key action numbers an action may be associated or linked to and is system generated.



2. **Full Compliance Evaluations (FCEs):** The definition of an FCE is extracted from the Clean Air Act Stationary Source Compliance Monitoring Strategy, April 2001: A Full Compliance Evaluation is a comprehensive evaluation of the compliance status of a facility. It addresses all regulated pollutants at all regulated emission units. Furthermore, it addresses the current compliance status of each emission unit, as well as the facility's continuing ability to maintain compliance at each emission unit.

A Full Compliance Evaluation should include the following:

- A review of all required reports, and to the extent necessary, the underlying records. This includes all monitored data reported to the regulatory agency (e.g., CEM and continuous parameter monitoring reports, malfunction reports, excess emission reports). It also includes a review of Title V self-certifications, semi-annual monitoring and periodic monitoring reports, and any other reports required by permit.
- An assessment of control device and process operating conditions as appropriate. An on-site visit to make this assessment may not be necessary based upon factors such as the availability of continuous emission and periodic monitoring data, compliance certifications, and deviation reports. Examples of source categories that may not require an on-site visit to access compliance include, but are not limited to, gas-fired compressor stations, boilers in large office and apartment buildings, peaking stations, and gas turbines.
- A visible emission observation as needed.
- A review of facility records and operating logs.
- An assessment of process parameters such as feed rates, raw material compositions, and process rates.
- An assessment of control equipment performance parameters (e.g., water flow rates, pressure drop, temperature, and electrostatic precipitator power levels).
- A stack test where there is no other means for determining compliance with the emission limits. In determining whether a stack test is necessary, States/locals should consider factors such as: size of emission unit; time elapsed since last stack test; results of that test and margin of compliance; condition of control equipment; and availability and results of associated monitoring.
- A Full Compliance Evaluation may be done piecemeal through a series of Partial Compliance Evaluations.
- **A complete review of all data in AFS to assure reporting accuracy.** This review should include plant level data, air programs and operating status, air program pollutant class(es), compliance status, attainment area status, HPV status, and default class(es) and status.



- An FCE must be completed within the frequency indicated by the Compliance Monitoring Strategy in order to avoid application of the automatic unknown compliance status utility.

**FIELD****NOTES****AFS REPORTING****REQUIRED REPORTING-RECAP****KEY ACTION (YES OR NO):**

No, not applicable

**AIR PROGRAM CODE(S):****Required, usually “V” for Title V and any other applicable air programs****ACTION TYPE:****Regional equivalents of:****FE EPA Conducted FCE On Site****FZ EPA FCE Off Site****FS State Conducted FCE On Site****FF State FCE Off Site****DATE SCHEDULED:**

Optional

**DATE ACHIEVED:****Required, reflect the date the onsite FCE is completed or the date of the evaluation report (offsite FCE)****RESULTS CODE:**

Optional

**PENALTY AMOUNT:**

Not appropriate for this action type

**RDE8:**

Not required

**STAFF CODE:**

Not required

**POLLUTANT CODE:**

Not required

**CONTRACTOR ID**

Not required

**RDE 16**

Not required

3. **Partial Compliance Evaluations (PCEs)**: The definition for a PCE is extracted from the Clean Air Act Stationary Source Compliance Monitoring Strategy, April 2001: A Partial Compliance Evaluation is a documented compliance assessment focusing on a subset of regulated pollutants, regulatory requirements, or emission units at a given facility. A PCE should be more comprehensive than a cursory review of individual reports. It may be conducted solely for the purpose of evaluating a specific aspect of a facility, or combined over the course of a year to satisfy the requirements of a Full Compliance Evaluation. PCEs may include: Site Visits, Conferences, Review of Required Reports, Compliance Reviews of individual Air Programs, Emission Inventory reviews, or other activities. It is recommended that Regional



values of PCEs describe the evaluating action taking place, such as “Conference on Site” or “RATA Review”.

**FIELD****AFS REPORTING****KEY ACTION (YES OR NO):****AIR PROGRAM CODE(S):****ACTION TYPE:****NOTES****Required for Federal Reporters, Optional for State/Local/Tribal Reporters**

No, not appropriate.

**Required, usually “V” for Title V and any other applicable air programs****Regional equivalent of:****ES EPA Conducted PCE On Site****EX EPA PCE Off Site****PS State Conducted PCE On Site****PX State PCE Off Site**

The following **optional** action types are available for use in reporting PCEs:

**PC: Complaint Partial Compliance Evaluation:**

Used for reporting the investigation of a complaint resulting in the on-site visit of a stationary source.

**PP: Permit Partial Compliance Evaluation:** Used for reporting pre-and post-permit issuance activities, where an on-site visit is necessary to review individual processes or installation of equipment.

**PR: Process Partial Compliance Evaluation:** Used for reporting the review of one or more plant processes for compliance purposes. For example, Maximum Achievable Control Technology (MACT) notifications and resulting compliance determinations.

**PO: Partial Compliance Evaluation On-Site**

**Observation:** Used for reporting any on-site review of source to include visible emissions or other observed activity.

**DATE SCHEDULED:**

Optional



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DATE ACHIEVED:	Required, can reflect either a review date or actual date of visit.
RESULTS CODE:	Optional
PENALTY AMOUNT:	Not appropriate for this action type
RDE8:	Not required
STAFF CODE:	Not required
POLLUTANT CODE:	Not required
CONTRACTOR ID	Not required
RDE 16	Not required.

4. **Stack (Performance) Tests:** As taken from the 2003 National Stack Test Guidance: Stack testing is defined as any standardized procedure of actions using calibrated tools to determine a rate or concentration in order to verify emissions from a source or the accuracy of a monitor or gauge. It does not include visible emission observations. The date a stack or performance test is completed is documented in AFS, with a **compliance determination** (updating of compliance status, as appropriate) from the results. Test results are reflected in the Results Codes (PP-PASS, FF-FAIL). **Stack tests should not be reported to AFS until the results of the test are known.** Federal reporters are required to report the pollutants tested in the Pollutant Code field on the action record. Pollutant Code reporting for State/Local/Tribal reporters is optional, Multiple actions on the same day with multiple pollutants are acceptable. There are multiple action types for Stack Tests. They are:

- 2A EPA Source Test Conducted: EPA test required, observed, and reviewed.
- 3A Owner/Operator Conducted Source Test: Must be State/Local agency observed and reviewed.
- 6C State Source Test Conducted: Must be State/Local agency observed and reviewed.
- TE EPA Required Stack Test Not Observed: Owner/Operator Conducted test, required by EPA, reviewed by EPA, but not observed by EPA
- TO EPA Required Stack Test Observed: EPA required stack test, Owner/Operator conducted, observed by EPA.
- TR State Required Stack Test Not Observed: Owner/Operator Conducted test, required by the State or Local Agency, reviewed but not observed by the State.

**FIELD****NOTES**



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<b>AFS REPORTING:</b>	<b>REQUIRED REPORT-RECAP</b>
<b>KEY ACTION (YES OR NO):</b>	No, not appropriate
<b>AIR PROGRAM CODE(S):</b>	<b>Required, usually “V” for Title V and any other applicable air programs</b>
<b>ACTION TYPE:</b>	<b>Regional equivalent of:</b> <b>2A EPA Source Test Conducted</b> <b>3A Owner/Operator-Conducted Source Test</b> <b>6C State Source Test Conducted</b> <b>TE EPA Stack Test Not Observed</b> <b>TO EPA Stack Test Observed</b> <b>TR State Stack Test Not Observed</b>
<b>DATE SCHEDULED:</b>	Optional
<b>DATE ACHIEVED:</b>	<b>Required. For Unobserved but Reviewed: Date of review. For observed tests: last day of actual test as per reference methods.</b>
<b>RESULTS CODE:</b>	<b>Required: PP-PASS, FF-FAIL</b>
<b>PENALTY AMOUNT:</b>	Not appropriate for this action type
<b>RDE8:</b>	Not required
<b>STAFF CODE:</b>	Not required
<b>POLLUTANT CODE:</b>	<b>Required reporting for Federal Reporters, Optional reporting for State/Local/Tribal Reporter</b>
<b>CONTRACTOR ID</b>	Not required
<b>RDE 16</b>	Not required.

5. **Investigations:** The definition of an Investigation is extracted from the Clean Air Act Stationary Source Compliance Monitoring Strategy, April 2001: An Investigation is limited to a portion of a facility, is more resource intensive, and involves a more in-depth assessment of a particular issue. It usually is based on information discovered during a Full Compliance Evaluation, or as the result of a targeted industry, regulatory, or statutory initiative. Also, an Investigation often requires the use and analysis of information not available in EPA data systems. It is best used when addressing issues that are difficult to evaluate during a routine FCE because of time constraints, the type of preliminary field work required, and/or the level of analytical expertise needed to determine compliance.



Investigations are tracked in AFS via two Action Types: Initiated and Completed. Initiated action types are Enforcement Sensitive. At the start of an Investigation, the action types documenting the initiated date should be added. At the completion of the Investigation (which could span fiscal year time frames), the action types documenting the completion date should be added.

**FIELD****NOTES****AFS REPORTING****REQUIRED REPORTING–RECAP****KEY ACTION (YES OR NO):**

No, not applicable for this action

**AIR PROGRAM CODE(S):****Required, should reflect the applicable air programs****ACTION TYPE:****Regional equivalents of:****EI EPA Investigation Initiated****EC EPA Investigation Conducted****SI State Investigation Initiated****SC State Investigation Conducted****DATE SCHEDULED:**

Optional

**DATE ACHIEVED:****Required. Actual dates of investigation initiated and completion.****RESULTS CODE:**

Not required

**PENALTY AMOUNT:**

Not appropriate for this action type

**RDE8:**

Not required

**STAFF CODE:**

Not required

**POLLUTANT CODE:**

Optional reporting, not required

**CONTRACTOR ID**

Not required

**RDE 16**

Not required.

6. **Notices of Violation:** A notice of violation (NOV) sent by EPA or the State/Local Agency informing a source that a violation by the authority granted by Section 113 of the Clean Air Act as amended in 1990, or similar State authority for a violation of the Clean Air Act has occurred. An NOV is considered an informal enforcement action. No penalty is applied to a Notice of Violation. **If an agency has a Stipulated Penalty Demand Letter, or an NOV with a proposed penalty, then both the NOV and the Administrative Order with Penalty action types should be reported.**





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<b><u>FIELD</u></b>	<b><u>NOTES</u></b>
<b>AFS REPORTING:</b>	<b>REQUIRED REPORTING–RECAP</b>
KEY ACTION (YES OR NO):	No, not required
<b>AIR PROGRAM CODE(S):</b>	<b>Required, should reflect the applicable air programs</b>
<b>ACTION TYPE:</b>	<b>Regional equivalent of:</b> <b>6A EPA NOV Issued</b> <b>7C State NOV Issued</b>
DATE SCHEDULED:	Optional
<b>DATE ACHIEVED:</b>	<b>Required. Signature date of the NOV letter.</b>
RESULTS CODE:	Not required
PENALTY AMOUNT:	<b>Not appropriate for this action type</b> (Proposed Penalties or Stipulated Penalty Demand Letters should be reported as an Administrative Order)
RDE8:	Not required
STAFF CODE:	Not required
POLLUTANT CODE:	Optional reporting, not required
CONTRACTOR ID	Not required
RDE 16	Not required.

#### **7. ADMINISTRATIVE ORDERS:**

DEFINITION: An administrative action (not civil or judicial) against a source with or without an assessed penalty that has been determined by the proper authority for violating the Clean Air Act as amended in 1990, or other State-delegated regulations. The penalty reported will be an assessed cash penalty. These actions are addressing actions for High Priority Violator (HPV) tracking, and are to be used in conjunction with action linking.

State and Local reporters use the State Administrative Order Issued to report activity not of a civil or judicial nature. Additionally, if the agency uses a stipulated penalty demand letter, or submits a Notice of Violation with proposed penalties to a source, an administrative order in addition to the NOV action type should be reported to AFS. All state penalties reported within the Administrative Order action should be assessed cash penalties and should not include any injunctive relief, Beneficial or Supplemental Environmental Project costs.



EPA Administrative Orders do not have any penalties applied. EPA Administrative Penalty Orders (APOs) are a three-step reporting process starting with the 7F-113(D) Administrative Penalty Order Filed, with the Date Achieved reflecting the filing date of the action and the penalty reflecting the proposed penalty from the order. It is followed by the second step, 113(D) Administrative Penalty Order Recalculated, which contains the mitigated assessed penalty amount. This second action documents the APO, and provides the record of formal and final penalty. The last activity, APO Collected, documents when the assessed penalty is paid. All enforcement tracking is done using the 113(D) Administrative Penalty Order Recalculated action type.

**AFS REPORTING:**

KEY ACTION (YES OR NO):

AIR PROGRAM CODE(S):

**ACTION TYPE:**

DATE SCHEDULED:

**DATE ACHIEVED:**

RESULTS CODE:

**PENALTY AMOUNT:**

RDE8:

STAFF CODE:

POLLUTANT CODE:

CONTRACTOR ID:

**REQUIRED REPORTING–RECAP**

No not appropriate.

Required, should reflect the applicable air programs

**Regional equivalents of:****8A Federal 113(A) Order Issued****8C State Administrative Order Issued****Federal APOs****7F EPA 113(D) Complaint Filed****C2 EPA 113(D) Recalculated–CAFO****C3 EPA 113(D) Collected**

Optional

**Required. Date of the official instrument.**

Not required.

**8C- State Final Assessed Cash Penalty****7F-EPA Proposed Cash Penalty****C2-EPA Final Assessed Cash Penalty****C3- EPA Assessed Cash Penalty Paid**

Not required

Not required

Optional reporting, not required

Not required



RDE 16

Not required.

8. **CONSENT DECREES**: A decree signed by the primary enforcement authority, the source, and by a court requiring a source violating an applicable Federal or SIP regulation to attain compliance by means specified in the decree. Consent Decrees and consent agreements should be tracked here if they are formally signed. This is an addressing action for a high priority violator. Penalties reported are the assessed dollar amount of any cash civil penalty. This action is also used for Administrative Consent Decrees.

**AFS REPORTING:**

KEY ACTION (YES OR NO):

AIR PROGRAM CODE(S):

**ACTION TYPE:**

DATE SCHEDULED:

**DATE ACHIEVED:**

RESULTS CODE:

**PENALTY AMOUNT:**

RDE8:

STAFF CODE:

POLLUTANT CODE:

CONTRACTOR ID:

RDE 16

**REQUIRED REPORTING-RECAP**

No not appropriate.

Required, should reflect the applicable air programs

**Regional equivalents of:****6B EPA Court Consent Decree****2D State Court Consent Decree**

Optional

**Required. Date Decree entered in State or Federal Court**

Not required.

**Assessed Cash Penalty.**

Not required

Not required

Optional reporting, not required

Not required

Not required.

**9. CIVIL REFERRALS:**

**Federal Civil Referrals:** Action taken by EPA to file a civil complaint in Federal court pursuant to the authority granted under State law for violating applicable State regulations or State-delegated Federal regulations. Additionally, this action is to be used in the preparation of a litigation report to initiate a Federal civil action against a noncomplying source and submittal to Headquarters is imminent (to be counted here the litigation report must have the Regional Air



Director approval). Penalties reported are the assessed dollar amount of any cash civil penalty. This is an addressing action for a high priority violation. This action is Enforcement Sensitive. If this action is used in a High Priority Violator case, action type OT is also required.

**AFS REPORTING:**

KEY ACTION (YES OR NO):

AIR PROGRAM CODE(S):

**ACTION TYPE:**

DATE SCHEDULED:

**DATE ACHIEVED:**

RESULTS CODE:

**PENALTY AMOUNT:**

RDE8:

STAFF CODE:

POLLUTANT CODE:

CONTRACTOR ID:

RDE 16

**REQUIRED REPORTING–RECAP**

No not appropriate.

Required, should reflect the applicable air programs

**Regional equivalents of:**

4B EPA Civil Referral

Optional

**Required. Signature date of litigation report.**

Not required.

**Proposed Penalty**

Not required

Not required

Optional reporting, not required

Not required

Not required.

State Civil Referral: An action taken by the State or local agency against a source resulting in a civil complaint being sent to the State Attorney General. This is different from a State Civil Action (action type 9C) which is the actual filing of a civil complaint against a source by the State Attorney General in a State court. This action is an addressing action for high priority violations and is to be used in action linking. This action is Enforcement Sensitive. If this action is used in an HPV case, action type OT is also required.

**AFS REPORTING:**

KEY ACTION (YES OR NO):

AIR PROGRAM CODE(S):

**ACTION TYPE:****REQUIRED REPORTING–RECAP**

No not appropriate.

Required, should reflect the applicable air programs

**Regional equivalents of:**

1E Civil referral to State Attorney



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DATE SCHEDULED:	Optional
DATE ACHIEVED:	<b>Required. Signature date of referral document.</b>
RESULTS CODE:	Not required.
PENALTY AMOUNT:	Not required.
RDE8:	Not required
STAFF CODE:	Not required
POLLUTANT CODE:	Optional reporting, not required
CONTRACTOR ID:	Not required
RDE 16	Not required.

## **10. CIVIL ACTIONS**

**Federal Civil Actions:** Reporting of Federal Civil Actions has not been well-documented in AFS. Reporting of this activity is done in the Integrated Compliance Information System (ICIS). During FY04, an AFS workgroup is chartered to review and document how AFS should handle this type of action. More guidance is necessary for Federal Civil Action reporting in conjunction with High Priority Violator Cases. At this time, the only action type available for reporting the outcome of a Federal Civil action is 7B-EPA Civil Penalty Assessed.

**State Civil Action:** The filing of a civil complaint against a source by the State Attorney General in a State Court. Action is taken by a State or Local Agency to file a civil complaint against a source in the State Court pursuant to the authority granted under State Law for violating applicable SIP or State-delegated Federal regulations. Additionally, this action type is used to document settlement proceedings. This action is an addressing action for high priority violations and is to be used in action linking.

### **AFS REPORTING:**

KEY ACTION (YES OR NO):

AIR PROGRAM CODE(S):

**ACTION TYPE:**

DATE SCHEDULED:

### **REQUIRED REPORTING–RECAP**

No not appropriate.

Required, should reflect the applicable air programs

**Regional equivalents of:**

9C State Civil Action

Optional



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<b>DATE ACHIEVED:</b>	<b>Required.</b> Date of Court filing or Decision Date.
RESULTS CODE:	Not required.
<b>PENALTY AMOUNT:</b>	<b>Assessed Cash Penalty, if reporting settlement</b>
RDE8:	Not required
STAFF CODE:	Not required
POLLUTANT CODE:	Optional reporting, not required
CONTRACTOR ID:	Not required
RDE 16	Not required.

#### **11. HIGH PRIORITY VIOLATOR (HPV) DAY ZERO**

**DEFINITION:** A High Priority Violator (HPV) is identified one of three ways:

1. The violation may fit within one of the ten General HPV Criteria identified in the HPV Policy of June 1999.
2. The violation may lead to emissions or parameter violations that fit within the HPV Matrix Criteria (reference HPV Policy of June 1999).
3. The violation may be categorized as an HPV on a discretionary basis subject to the mutual agreement of the State/Local agency and EPA.

HPV cases are tracked in AFS via action linkage with the following information:

1. **Day Zero Action Type:** Defines a state/local, joint, or Federal lead and a start date. Indicates the start of an HPV pathway and requires a compliance status change to violation.
2. **Violation Type Code:** A three-digit code defining the reason why a source has met the definition of HPV. Code tables can be found in AFS in the Utilities, under Descriptions, Violation Codes. Additionally, the code tables are provided in this section.
3. **Discovery Date:** The date of discovery is usually defined by one of the following activities:
  - A Full Compliance Evaluation;
  - A Partial Compliance Evaluation (On- or Off-Site Evaluations);
  - A Title V Annual Compliance Certification;



- Stack Tests or
  - Investigations.
4. Violating Pollutant(s): Pollutant(s) in violation. If the violation does not involve a specific pollutant (i.e. permit paperwork violations), use the pollutant code “FACIL” Pollutant codes must be used to capture violating pollutant(s). If you have a substance without an existing pollutant code, please contact the AFS Helpline (1-800-367-1044) for assistance.
  5. Addressing Action: Usually an enforcement action or civil referral. This section contains a table defining addressing action types.
  6. Resolving Action: An action that closes out the violation, and requires a compliance status change to compliance.

Each of these milestones has reporting criteria and the reporter must link all appropriate actions to the Day Zero action in AFS. Linkage is started by indicating a Key Action. Direct users of AFS indicate YES in screen 306 “Key Action Y/N”, batch users provide transaction 163 to define the Key Action number. [Note: Day Zero and the Addressing Action MUST NOT be recorded on the same day.] Guidance on the HPV policy and AFS reporting can be found at:

<http://www.epa.gov/Compliance/resources/policies/civil/caa/stationary/hpvmanualrevised.pdf>

Regions are encouraged to use the 620 Fixed Report, HPV Pathway Summary Report, to track cases with state/local agencies. This report will include the Day Zero action, information on the lead, and all linked actions including the first comment on the Day Zero action. It is recommended that the lead agency provide an action comment with information concerning the violation. The first comment attached to the key action record will be provided on the 620 report. EPA uses the 653 Fixed Report, HPV Summary Report, to track the days used to address and track unaddressed cases. [Note: Compliance status needs to be updated during the HPV process.]

**DAY ZERO DEFINITION**: Day Zero will ordinarily be no later than 45 days from the day the violation was discovered. For violations requiring additional information, Day Zero may be extended to 90 days from the date the violation is discovered or the date of receipt of the additional information. If a violation is self-reported, Day Zero will be 30 days from the date the agency receives the information. A Notice of Violation action can document the Day Zero action. **In addition to reporting the Day Zero and action linking, the plant compliance status should be changed to reflect violation.** Day Zero actions that have been added to AFS in error should be deleted from the database. Cases that have been dropped should use National



Action Types 2K-Compliance by State, No Action Required or 7G-Compliance by EPA, No Action Required to resolve the violation.

**AFS REPORTING:**

**KEY ACTION (YES OR NO):**

**AIR PROGRAM CODE(S):**

**ACTION TYPE:**

**DATE SCHEDULED:**

**DATE ACHIEVED:**

**RESULTS CODE:**

**PENALTY AMOUNT:**

**RDE8:**

**STAFF CODE:**

**POLLUTANT CODE:**

**CONTRACTOR ID:**

**RDE 16**

**VIOLATING POLLUTANTS:**

**LEAD AGENCY:**

**VIOLATION IDENTIFIER:**

**VIOLATION TYPE CODES:**

**ACTION LINKING FOR HPV CASES IS REQUIRED.**

**REQUIRED REPORTING–RECAP**

**YES.**

**Required, should reflect the applicable air programs**

**Regional equivalents of:**

**2Z EPA Day Zero**

**2E State Day Zero**

**2U Enforcement Lead is Unassigned**

**2B Shared Enforcement Lead**

**Optional**

**Required. Date determined by policy.**

**Not required.**

**Not required.**

**Not required**

**Not required**

**Not Required but recommended, lead pollutant should be reported here.**

**Not required**

**Not required.**

**Required, report using pollutant codes.**

**Not required, but recommended. AFS will also identify a pathway by its Day Zero action type.**

**Not required.**

**Required. See following tables for values.**

Users are also encouraged to enter a short comment describing the violation on the Day Zero Action.



**HPV MATRIX VIOLATION CODE TABLE**

DESCRIPTION TYPE: VC - VIOLATION TYPE CODES

GC1	Fail to Obtain PSD or NSR Permit: Failure to obtain a PSD permit (and/or to install BACT), an NSR permit (and/or to install LAER or obtain offsets) and/or a permit for a major modification of either.
GC2	Viol. Of Air Toxics Requirements: Violation of air toxics requirement (i.e. NESHAP, MACT) that either results in excess emissions or violates operating parameter restrictions.
GC3	Violation that Affects Synthetic Minor Status: Violation by a synthetic minor of an emission limit or permit condition that affects the source's PSD, NSR, or Title V status.
GC4	Enforcement Violation: Violation of any substantive term of any Local, State, or Federal order, consent decree or administrative order.
GC5	Title V Certification Violation: Substantial violation of the source's Title V certification obligations.
GC6	Title V Permit Application Violation: Substantial violation of the source's obligation to submit a Title V permit application.
GC7	Testing, Monitoring, Recordkeeping, or Reporting Violation: Violations that involve testing, monitoring, recordkeeping, or reporting that substantially interfere with enforcement or determining the source's compliance with applicable emission limits.
GC8	Emission Violation: Violation of an allowable emission limit detected during a reference method stack test.
GC9	Chronic or Recalcitrant Violation: CAA violations by chronic or recalcitrant violators.
G10	Section 112(r) Violation: Substantial violation of CAA Section 112(r) requirements.



## AFS BUSINESS RULES COMPENDIUM

Revision # 1.0  
Date: July 2005

HPV		MATRIX		CODES				
MATRIX CODE	AFS DESCRIPTION	VIOLATION	METHOD OF DETECTION	STANDARD	SUPPLEMENTAL SIGNIFICANT THRESHOLD <sub>1</sub>	% IN EXCESS OF REFERENCE LIMIT/PARAMETER		% OF TIME IN EXCESS OF REFERENCE LIMIT
M1A	Any violation of emission limit detected via stack testing.	Violation of Allowable Emissions Limitations, reference HPV Matrix Criteria 1A,	Stack Testing	Any applicable requirement		Any violation of the applicable standard		N/A
M1B	Violation of emission limits > 15% via sampling	Violation of allowable emissions limitations, reference HPV Policy Matrix Criteria 1B, coatings analysis, fuel samples or other process	Coatings analysis, fuel samples, other process materials sampling or raw/process materials usage reports.	Any applicable requirement		> 15% of the applicable emission limitation		N/A
M1C	Violation of emission limits > the SST (Supplemental Significant Threshold)	Violation of allowable emissions limitations, reference HPV Policy Matrix Criteria 1B, coatings analysis, fuel samples or other process	Coatings analysis, fuel samples, other process materials sampling or raw/process materials usage reports.	Any applicable requirement	CO 23 lb/hr NOX 9 lb/hr SO <sub>2</sub> 9 lb/hr VOC 9 lb/hr PM 6 lb/hr PM <sub>10</sub> 3 lb/hr	> the SST. <sub>1</sub>		N/A



# AFS BUSINESS RULES COMPENDIUM

Revision # 1.0  
Date: July 2005

HPV		MATRIX		CODES				
MATRIX CODE	AFS DESCRIPTION	VIOLATION	METHOD OF DETECTION	STANDARD	SUPPLEMENTAL SIGNIFICANT THRESHOLD <sub>1</sub>	% IN EXCESS OF REFERENCE LIMIT/PARAMETER		% OF TIME IN EXCESS OF REFERENCE LIMIT
M2A	Violation of Direct Surrogate for >5% of limit for >3% of OT (operating time)	Violation of parameter emissions limitations, reference HPV Policy Matrix Criteria 2A,	Continuous/Periodic Parameter Monitoring (includes indicators of control device performance).	Any applicable requirement		> 5% of the applicable parameter limit	FOR	>3% of the operating time during the reporting period.
M2B	Violation of Direct Surrogate for >50% of OT (operating time).	Violation of parameter emissions limitations, reference HPV Policy Matrix Criteria 2A,	Continuous/Periodic Parameter Monitoring (includes indicators of control device performance).	Any applicable requirement				Any exceedance of the parameter limit for >50% of the operating time during the reporting period. <sup>3</sup>
M2C	Violation of Direct Surrogate of >25% for 2 reporting periods.	Violation of parameter emissions limitations, reference HPV Policy Matrix Criteria 2A, continuous/periodic parameter monitoring.	Continuous/Periodic Parameter Monitoring (includes indicators of control device performance).	Any applicable requirement				Any exceedance of the parameter limit for >25% of the operating time during the reporting period, continuing through the subsequent consecutive reporting period. <sup>3</sup>



# AFS BUSINESS RULES COMPENDIUM

Revision # 1.0  
Date: July 2005

HPV		MATRIX		CODES				
MATRIX CODE	AFS DESCRIPTION	VIOLATION	METHOD OF DETECTION	STANDARD	SUPPLEMENTAL SIGNIFICANT THRESHOLD <sub>1</sub>	% IN EXCESS OF REFERENCE LIMIT/PARAMETER		% OF TIME IN EXCESS OF REFERENCE LIMIT
M3A	Violation of non-opacity standard via CEM of >15% for >5% of operating time.	Violation of applicable standards (non-opacity), reference HPV Policy Matrix Criteria 3A, continuous	Continuous Emissions Monitoring (where CEM is certified under federal performance specifications).	<=24 hour averaging period		Any exceedance > 15% of the applicable standard.	FOR	>5% of the operating time during the reporting period. <sup>4</sup> <sub>6</sub>
M3B	Violation of non-opacity standard via CEM of the SST (Supplemental Significant Threshold).	Violation of applicable standards (non-opacity), reference HPV Policy Matrix Criteria 3A, continuous emissions monitoring.	Continuous Emissions Monitoring (where CEM is certified under federal performance specifications).	<=24 hour averaging period	CO 23 lb/hr NOX 9 lb/hr SO2 9 lb/hr VOC 9 lb/hr	Any exceedance of the SST.		
M3C	Violation of non-opacity standard via CEM of >15% for 2 reporting periods	Violation of applicable standards (non-opacity), reference HPV Policy Matrix Criteria 3A, continuous emissions monitoring.	Continuous Emissions Monitoring (where CEM is certified under federal performance specifications).	<=24 hour averaging period		Any exceedance of 15% of the applicable standard.	FOR	>3% of the operating time during two consecutive reporting periods. <sup>4</sup> <sub>6</sub>



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HPV		MATRIX		CODES				
MATRIX CODE	AFS DESCRIPTION	VIOLATION	METHOD OF DETECTION	STANDARD	SUPPLEMENTAL SIGNIFICANT THRESHOLD <sub>1</sub>	% IN EXCESS OF REFERENCE LIMIT/PARAMETER		% OF TIME IN EXCESS OF REFERENCE LIMIT
M3D	Violation of non-opacity standard via CEM of >50% of the operating time during the reporting period.	Violation of applicable standards (non-opacity), reference HPV Policy Matrix Criteria 3A, continuous emissions monitoring.	Continuous Emissions Monitoring (where CEM is certified under federal performance specifications).	<=24 hour averaging period				Any exceedance of the reference limit for >50% of the operating time during the reporting period. <sub>3</sub>
M3E	Violation of non-opacity standard via CEM of >25% during two consecutive reporting periods.	Violation of applicable standards (non-opacity), reference HPV Policy Matrix Criteria 3A, continuous emissions monitoring.	Continuous Emissions Monitoring (where CEM is certified under federal performance specifications).	<=24 hour averaging period				Any exceedance of the parameter limit for >25% of the operating time during the reporting period, continuing through the subsequent consecutive reporting period. <sub>3</sub>
M3F	Any violation of non-opacity (>24 hours standard) via CEM.	Violation of applicable standards (non-opacity), reference HPV Policy Matrix Criteria 3A, continuous emissions monitoring.	Continuous Emissions Monitoring (where CEM is certified under federal performance specifications).	>24 hour averaging period		Any violation of the applicable standard.		N/A



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HPV		MATRIX		CODES				
MATRIX CODE	AFS DESCRIPTION	VIOLATION	METHOD OF DETECTION	STANDARD	SUPPLEMENTAL SIGNIFICANT THRESHOLD <sub>1</sub>	% IN EXCESS OF REFERENCE LIMIT/PARAMETER		% OF TIME IN EXCESS OF REFERENCE LIMIT
M4A	Violation of opacity standards (0-20%) via Continuous Opacity Monitoring (COM).	Violation of applicable standards (opacity), reference HPV Policy Matrix Criteria 4A, continuous opacity monitoring. <sup>2</sup>	Continuous Opacity Monitoring (COM)	0-20% opacity		>5% opacity over the limit	FOR	>5% of the operating time during the reporting period. <sup>4</sup> <sup>6</sup>
M4B	Violations of opacity standards >3% of operating time via Continuous Opacity Monitoring during two consecutive reporting periods.		Continuous Opacity Monitoring (COM)	0-20% opacity		>5% opacity over the limit		
M4C	Violation of opacity standards (> 20%) via Continuous Opacity Monitoring (COM) for >5% of operating Time.		Continuous Opacity Monitoring (COM)	> 20% opacity		>10% opacity over the limit	FOR	>5% of the operating time during the reporting period. <sup>4</sup> <sup>6</sup>
M4D	Violation of opacity standards (>20%) via Continuous Opacity Monitoring (COM) for 5% operating time.		Continuous Opacity Monitoring (COM)	> 20% opacity		>10% opacity over the limit		



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HPV		MATRIX		CODES				
MATRIX CODE	AFS DESCRIPTION	VIOLATION	METHOD OF DETECTION	STANDARD	SUPPLEMENTAL SIGNIFICANT THRESHOLD <sub>1</sub>	% IN EXCESS OF REFERENCE LIMIT/PARAMETER		% OF TIME IN EXCESS OF REFERENCE LIMIT
M4E	Violation of opacity standards (0-20%) via Method 9 VE Readings.	Violation of applicable standards (opacity), reference HPV Policy Matrix Criteria 4B, Method 9 Visual Emissions Readings. <sup>2</sup>	Method 9 VE Readings	0-20% opacity		>50% over limit	AND	Any violation of SIP/NSPS limits. <sup>5</sup>
M4F	Violation of opacity standards (>20%) via Method 9 VE Readings.	Violation of applicable opacity standards (averaging period of 6-minute block averages), reference HPV Matrix Criteria 5.	Method 9 VE Readings	> 20% opacity		>25% over limit	AND	
DIS	Discretionary HPV	HPV definition subject to mutual agreement of the State/Local Agency and EPA.	Mutual Agreement	Can be major or minor source				

### Footnotes:

1. Supplemental Significant Threshold is based on PSD significant levels. The significant threshold value is the lb/hr emission rate at 8760 hours which would result in PSD review.
2. Based on the applicable averaging period (e.g. 6-minute block averages).
3. For the first reporting period. If exceedance of the operating time during the first reporting period evaluated, and if such



exceedances continue during the subsequent consecutive reporting period, the exceedances will be considered high priority violations for both reporting periods if the percent of time in excess exceeds 25% of the operating time during the second reporting period.

4. For the first reporting period. If exceedances occur for more than 3% of the operating time during the first reporting period evaluated, and if such exceedances continue during the subsequent consecutive reporting period, the exceedances will be considered high priority violations for both reporting periods if the percent of time in excess exceeds 3% of the operating time during the second reporting period.

5. Unless the state or local agency concludes that 1) the cause of the violation has been corrected within 30 days and the source has returned to compliance, are 2) the source was in compliance with an applicable mass limit at the time the Method 9 visual reading was taken.

6. This would not include any federally approved exempt period (e.g., startup/shutdown/malfunction 40 CFR 60.11), since these would not be violations.





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**12. HIGH PRIORITY VIOLATOR (HPV) LEAD CHANGES :**

**LEAD CHANGE DEFINITION:** Lead changes (From Federal to State lead, from State to Federal Lead, or Joint Lead) on a violation may be made at any time. Timely and appropriate enforcement is extended to 300 days in case of a lead change. Cases may be assumed by EPA if addressing/resolution actions have not taken place by Day 270.

**AIR PROGRAM CODE(S):** Required, should reflect the applicable air programs

**ACTION TYPE:** Regional equivalents of:

**DY Lead Changed to Federal Enforcement**

**DB Lead Changed to Shared Enforcement**

**DS Lead Changed to State Enforcement**

**2B Shared Enforcement Lead (Joint)**

**DATE SCHEDULED:** Optional

**DATE ACHIEVED:** Required. Date of lead change.

**RESULTS CODE:** Not required.

**PENALTY AMOUNT:** Not required.

**RDE8:** Not required

**STAFF CODE:** Not required

**POLLUTANT CODE:** Encouraged, lead pollutant should be reported.

**CONTRACTOR ID:** Not required

**RDE 16** Not required.

**ACTION LINKING FOR HPV CASES IS REQUIRED.**

**13. HIGH PRIORITY VIOLATOR (HPV) ADDRESSING AND RESOLVING ACTIONS:**

**ADDRESSING ACTION DEFINITION:** By Day 270 (if there has been no lead change), the violation should be either Resolved or Addressed. Addressing Actions include: Administrative Orders, Civil or Criminal Referrals, Administratively Addressed with No Formal Enforcement Action, SIP Revisions, Civil or Criminal Actions or Administrative Penalty Orders. In the case of a civil or criminal referral, an additional action of "OT" Other Addressing Action will need to be entered and linked to the Day Zero. As the Civil and Criminal Referral action types are Enforcement Sensitive, the OT action will ensure that the violation is correctly addressed in



extracts to systems like the Online Targeting Information System (OTIS) and the Enforcement Compliance History Online (ECHO) system. Addressed violations *could* have a compliance status change from violation to meeting schedule. **HPVs addressed but not resolved need to reflect a compliance status of noncompliance or meeting schedule.** See the following chart for a list of addressing and resolving action types.

**VIOLATION RESOLVED DEFINITION:** Source compliance is confirmed, all penalties are collected, all activity identified in a Supplemental Enforcement Project (SEP) and all injunctive relief is completed. **After action reporting and linking, compliance status should be returned to compliance.** See the following chart for a list of addressing and resolving action types.

**AFS REPORTING FOR ADDRESSING AND RESOLVING ACTIONS:**

<b>AIR PROGRAM CODE(S):</b>	<b>Required, should reflect the applicable air programs</b>
<b>ACTION TYPE:</b>	<b>Regional equivalents of action types on the following chart</b>
<b>DATE SCHEDULED:</b>	Optional
<b>DATE ACHIEVED:</b>	<b>Required. Date determined by activity.</b>
<b>RESULTS CODE:</b>	Not required.
<b>PENALTY AMOUNT:</b>	<b>Assessed cash penalties on the formal enforcement addressing actions (not the resolving action).</b>
<b>RDE8:</b>	Not required
<b>STAFF CODE:</b>	Not required
<b>POLLUTANT CODE:</b>	<b>Encouraged, lead pollutant should be reported on the Day Zero action.</b>
<b>CONTRACTOR ID:</b>	Not required
<b>RDE 16</b>	Not required.
<b>ACTION LINKING FOR HPV CASES IS REQUIRED.</b>	



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NATIONAL ACTION TYPES FOR ADDRESSING OR RESOLVING HIGH PRIORITY VIOLATOR CASES IN AFS			
ACT	DESCRIPTION	ADDRESS	RESOLVE
C3	EPA 113(D) ADMIN PENALTY COLLECTED		X
C7	CLOSEOUT MEMO ISSUED		X
OT	OTHER ADDRESSING ACTION (USED IN CONJUNCTION WITH CIVIL REFERRALS)	X	
VR	VIOLATION RESOLVED		X
WD	EPA 113(D) WITHDRAWN		X
2D	STATE COURT CONSENT DECREE	X	
2K	COMPL BY STATE, NO ACTION REQUIRED (ADMINISTRATIVELY RESOLVED-NO FORMAL ENFORCEMENT ACTION)	X	X
2L	PROPOSED SIP REVISION WILL LEAD TO COMPLIANCE	X	
2M	PROPOSED FIP REVISION WILL LEAD TO COMPLIANCE	X	
6B	EPA COURT CONSENT DECREE	X	
7F	EPA 113(D) APO COMPLAINT FILED	X	
7G	COMPL BY EPA, NO ACTION REQUIRED (ADMINISTRATIVELY RESOLVED-NO FORMAL ENFORCEMENT ACTION)		X
8A	EPA 113(A) ORDER ISSUED	X	
8C	STATE ADMIN ORDER ISSUED	X	
9C	STATE CIVIL ACTION	X	



**14. NON-HPV DAY ZERO:** This action type starts a pathway for non-HPV instances. The linkage feature of AFS has proven to be very versatile and useful, and users had requested the ability to link up like actions similar to the HPV pathways. This use of this action type is not mandatory and is available at user discretion. The 620 report provides the choice of a Non-HPV pathway, so a pathway summary report can be generated.

**USE OF THIS ACTION TYPE IS OPTIONAL**

<b>KEY ACTION:</b>	<b>YES</b>
<b>AIR PROGRAM CODE(S):</b>	<b>Required, should reflect the applicable air programs</b>
<b>ACTION TYPE:</b>	<b>Regional equivalents of:</b> <b>NH-Non-HPV Day Zero</b>
<b>DATE SCHEDULED:</b>	Optional
<b>DATE ACHIEVED:</b>	<b>Date Achieved or Schedule is mandatory.</b>
<b>RESULTS CODE:</b>	Not required.
<b>PENALTY AMOUNT:</b>	Not required.
<b>RDE8:</b>	Not required
<b>STAFF CODE:</b>	Not required
<b>POLLUTANT CODE:</b>	Not required
<b>CONTRACTOR ID:</b>	Not required
<b>RDE 16</b>	Not required.

**ACTION LINKING IS REQUIRED WHEN USING THIS OPTIONAL ACTION TYPE.**

**15. TITLE V ANNUAL COMPLIANCE CERTIFICATIONS DATE DUE AND RECEIVED**

**DEFINITION:** As required by the Compliance Monitoring Strategy (CMS) of April 2001, Regions shall enter the date a Title V Annual Compliance Certification (ACC) is due and received unless otherwise negotiated. Due dates are normally determined by the Permit Authority and may reflect a grace period before a source is considered to be late in submitting the ACC. Received dates are post mark dates on the ACC. In case of electronic submission, the date received is the date submitted to the reviewing agency. Compliance status is to be reported in the Results Code field: MC=Compliance, MV=Violation, MU=Unknown. Deviations are to be reported by EPA in the RDE8 field: Y=Yes, N=No, or a number of deviations reported may be entered.

**AFS REPORTING:**

KEY ACTION (YES OR NO):

AIR PROGRAM CODE(S):

ACTION TYPE:

DATE SCHEDULED:

DATE ACHIEVED:

RESULTS CODE:

PENALTY AMOUNT:

RDE8:

STAFF CODE:

POLLUTANT CODE:

CONTRACTOR ID:

RDE 16

**REQUIRED REPORTING–RECAP**

No, not appropriate

**Required, Should reflect “V” for Title V****Regional equivalents of:****CC EPA TV ACC Due/Received****CB Permit Authority TV ACC Due/Receive  
(as negotiated)****Due Date, determined by Permitting  
Authority****Received date, should reflect the post mark  
on the certification.****Required by EPA, reports compliance:  
MC=Compliance****MV=Violation****MU=Unknown**

Not required.

**Required by EPA, reports deviations:****Y=Yes****N=No****Or number of deviations may be reported.**State/Local agencies are encouraged to report  
this information, but it is not required.

Not required

Not required.

Not required

Not required.

**16. TITLE V ANNUAL COMPLIANCE CERTIFICATION REVIEWS:** As required by the Compliance Monitoring Strategy (CMS) of April 2001, EPA or State/Local Agency review of an annual compliance certification submitted by a source which is permitted under Title V of the Clean Air Act as amended in 1990. Compliance status is to be reported in the Results Code field: MC=Compliance, MV=Violation, MU=Unknown. Deviations are to be reported by EPA in the RDE8 field: Y=Yes, N=No, or a number of deviations reported may be entered.



**AFS REPORTING:**

KEY ACTION (YES OR NO):

**AIR PROGRAM CODE(S):**

**ACTION TYPE:**

DATE SCHEDULED:

**DATE ACHIEVED:**

**RESULTS CODE:**

PENALTY AMOUNT:

**RDE8:**

STAFF CODE:

POLLUTANT CODE:

CONTRACTOR ID:

RDE 16

**REQUIRED REPORTING–RECAP**

No, not appropriate

**Required, Should reflect “V” for Title V**

**Regional equivalents of:**

**ER Compliance Certification EPA Review**

**SR Compliance Certification State Review**

Not Required

**Date of Review.**

**Required by EPA, reports compliance:**

**MC=Compliance**

**MV=Violation**

**MU=Unknown**

Not required.

**Required by EPA, reports deviations:**

**Y=Yes**

**N=No**

**Or number of deviations may be reported.**

Not required

Not required.

Not required

Not required.



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**SECTION 4: SUGGESTIONS FOR IMPROVING AFS**

During the period of Business Rules compilation (Fiscal Years 03 and 04), several recommendations were made concerning the improvement of AFS:

- Many agencies track compliance status by source, not by air program pollutant. Requests to discontinue tracking at the air program pollutant level have been submitted not only during the Business Rules process, but during the AFS Needs Analysis completed in FY02. The air program requires the identification of the pollutant in violation, but an effort to streamline data reporting are being included in modernization efforts.
- Many agencies do not agree that compliance status should be tracked by disposition of enforcement activity. It was reported during conference calls that many agencies consider physical compliance a more reliable way to track compliance with the Act. Sources with unresolved High Priority Violator cases physically in compliance with the Act will be listed as “Meeting Schedule” or “In Violation” until all injunctive relief or penalties are paid. An AFS Workgroup to study Compliance Status has been formed with an expected output in late FY04/early FY05.
- Many agencies are reporting a Notice of Violation with a proposed penalty, or stipulated penalty. These actions are being counted as a Notice of Violation, but should also be reported as an Administrative Order with Penalty. This compendium advises that any NOV with penalty be reported as two separate actions: an NOV and an Administrative Order.
- Guidance has been requested for the reporting of Civil Actions by both Federal and State users of AFS. Action types defined as “Civil Action” for filing a complaint are being used to report settlements. New action types for state or district filings have been requested. An AFS Workgroup to study Enforcement Actions has been formed with an expected output in late FY04/early FY05. In addition, this group will study the reporting of penalty data and reporting information on appealed enforcement cases.
- Penalty data is not being reported consistently across the country. Values from injunctive relief and Supplemental Environmental Projects are being added to the penalty field, which is designed to reflect assessed cash penalties only. In cases of court decisions affecting multiple locations, policy for distribution of penalty has been requested. Additionally, penalty amounts are not being reported on the official enforcement action, and are being reported under an action type “Penalty Paid”, thus not captured in RECAP analyses.
- Guidance is needed for the reporting of appealed cases, where changes in the final penalty have been made.



- 
- There are areas where the appropriate air program codes are not being reported. Specifically, Title V applicability, New Source Review (NSR) and Prevention of Significant Deterioration (PSD) air programs are not being identified. The correct reporting of air program codes should be a priority of Regional AFS Compliance Managers for data accuracy.
  - One Region asked for the ability to track emission credits and trading.
  - One Region asked for stack test results (Pass or Fail) to be written into AFS code making the information mandatory for reporting on the action type. This type of functionality is being considered in ongoing modernization efforts.
  - One Region has asked for recommended procedures for change of ownership—issues of culpability have been raised and at least one local agency refuses to saddle a new owner with the compliance history of past ownership.
  - Guidance has been requested for reporting of stack test failures.





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## SECTION 5 AFS DOCUMENTATION

Current documentation used for reporting data to AFS:

### Document Name/Web Site

Compliance Monitoring Strategy AFS Technical Support Document

<http://www.epa.gov/compliance/resources/publications/data/systems/air/cmstechman.pdf>

The Timely & Appropriate Response to High Priority Violators

<http://www.epa.gov/compliance/resources/policies/civil/caa/stationary/hpvmanualrevised.pdf>

AFS National Action Types

<http://www.epa.gov/compliance/resources/publications/data/systems/air/actions.pdf>

List of Minimum Data Requirements (MDRs)

<http://www.epa.gov/compliance/resources/publications/data/systems/air/mdrshort.pdf>

AF1: Data Dictionary

<http://www.epa.gov/compliance/resources/publications/data/systems/air/af1.pdf>

AF2 Data Coding Manual

<http://www.epa.gov/compliance/resources/publications/data/systems/air/af2.pdf>

AF3 Data Storage Manual

<http://www.epa.gov/compliance/resources/publications/data/systems/air/af3.pdf>

AFS Data Acronym Guides

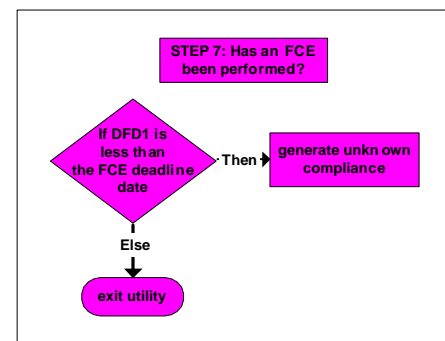
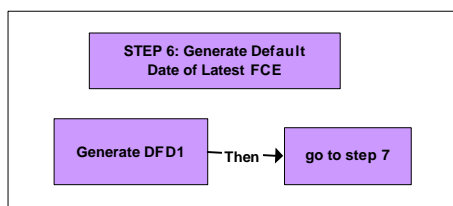
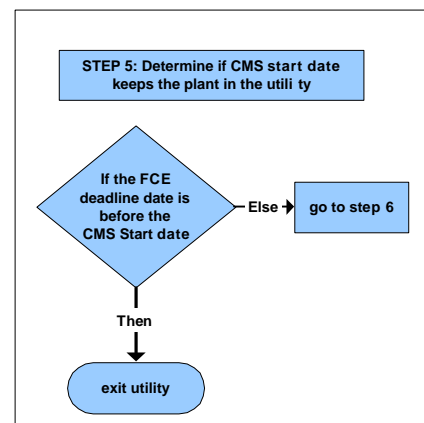
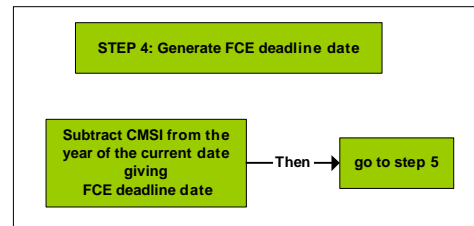
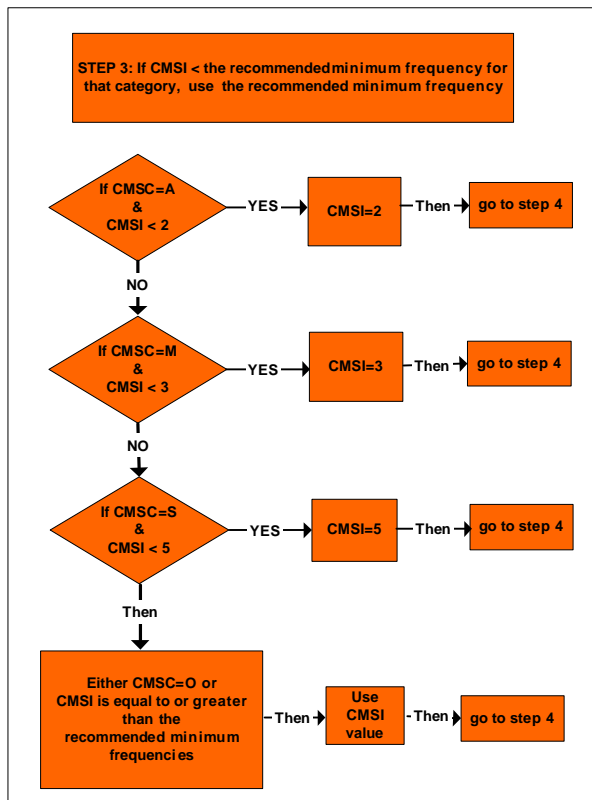
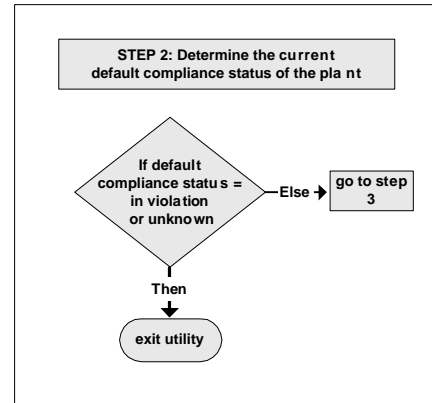
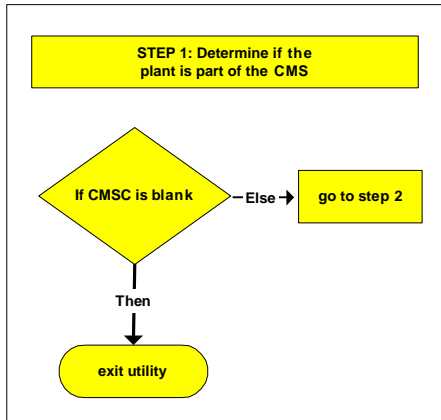
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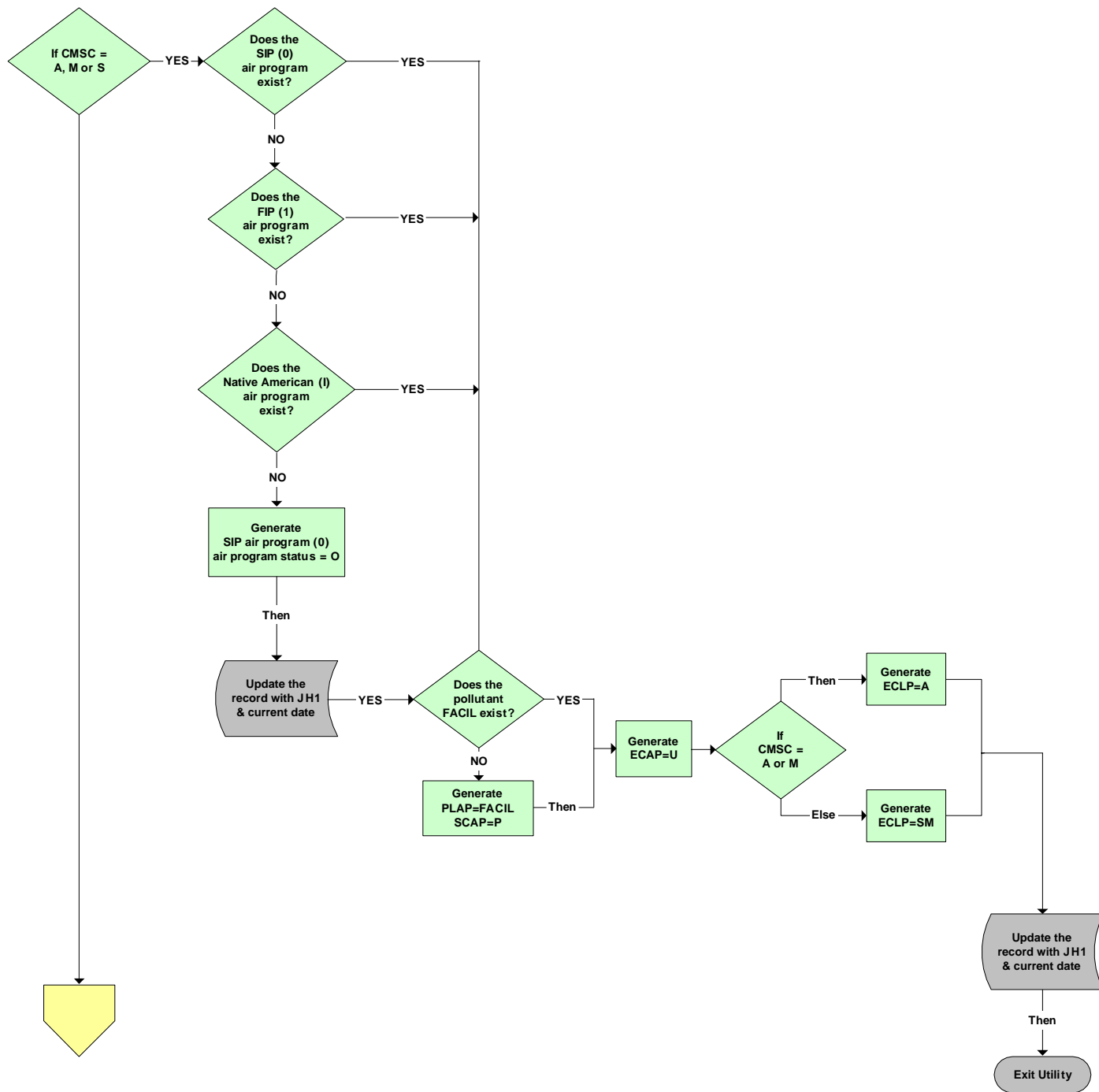
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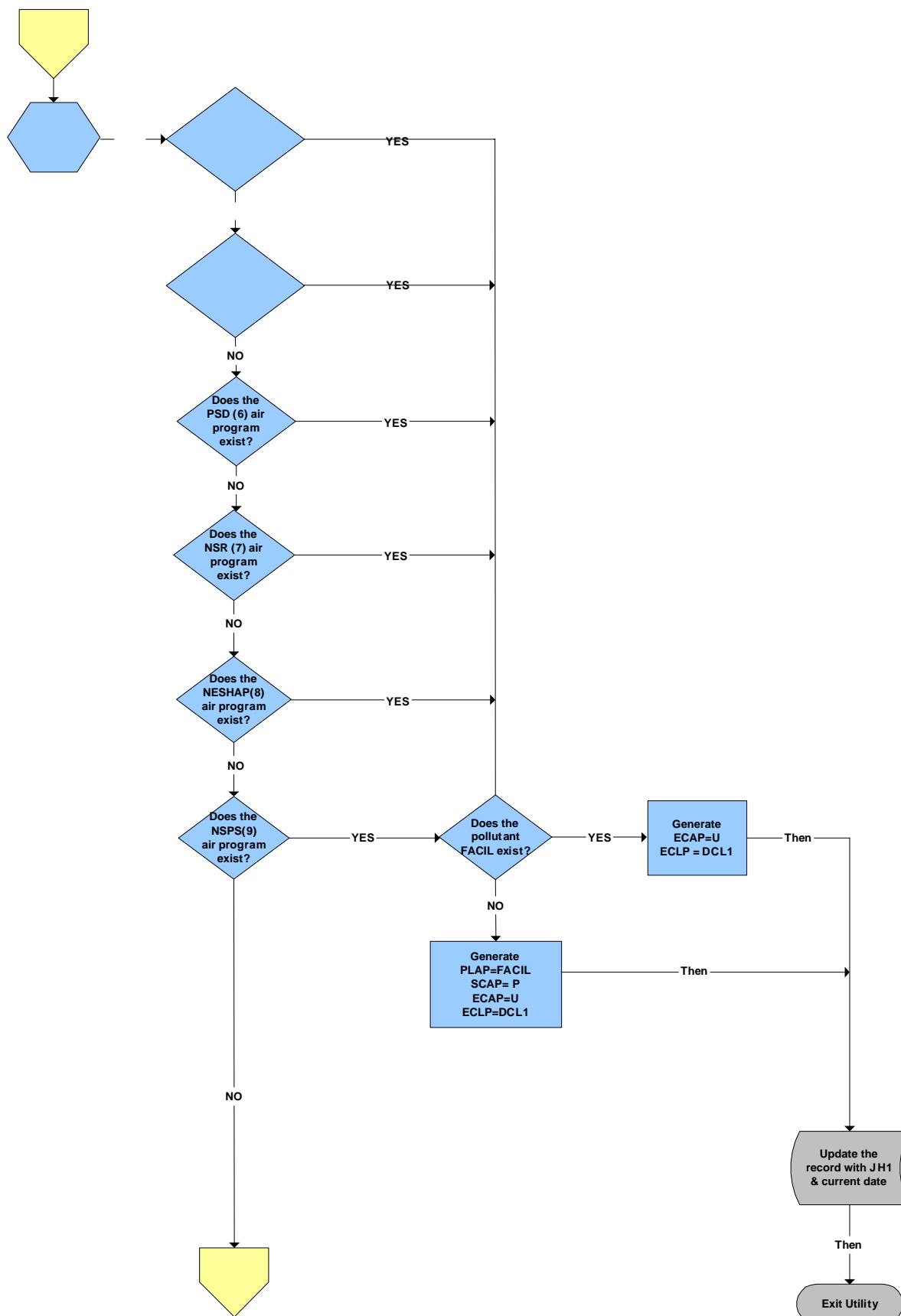
## **APPENDIX 1**

### **CMS CHARTS**

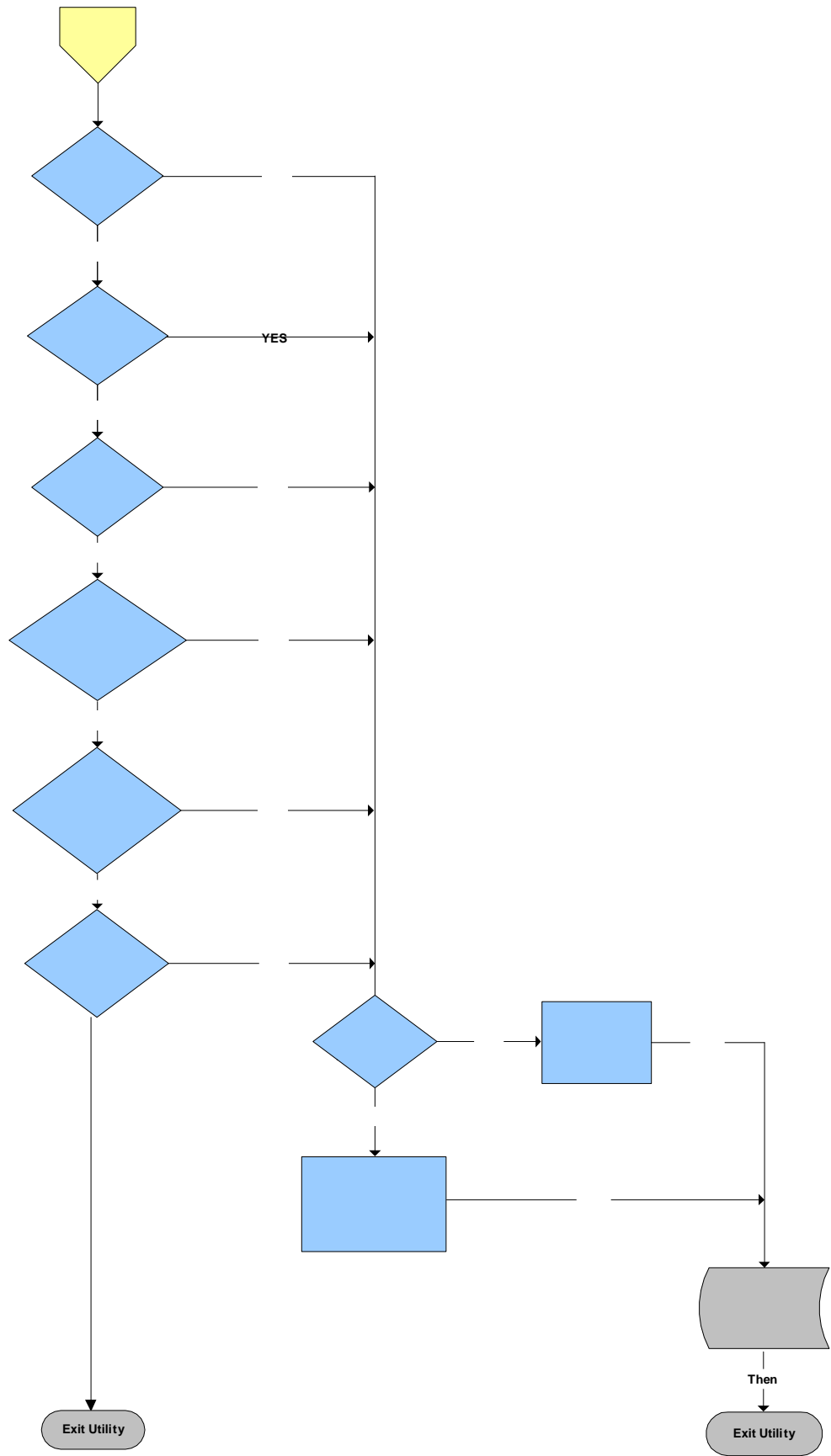
## Generate Unknown Compliance Status Utility

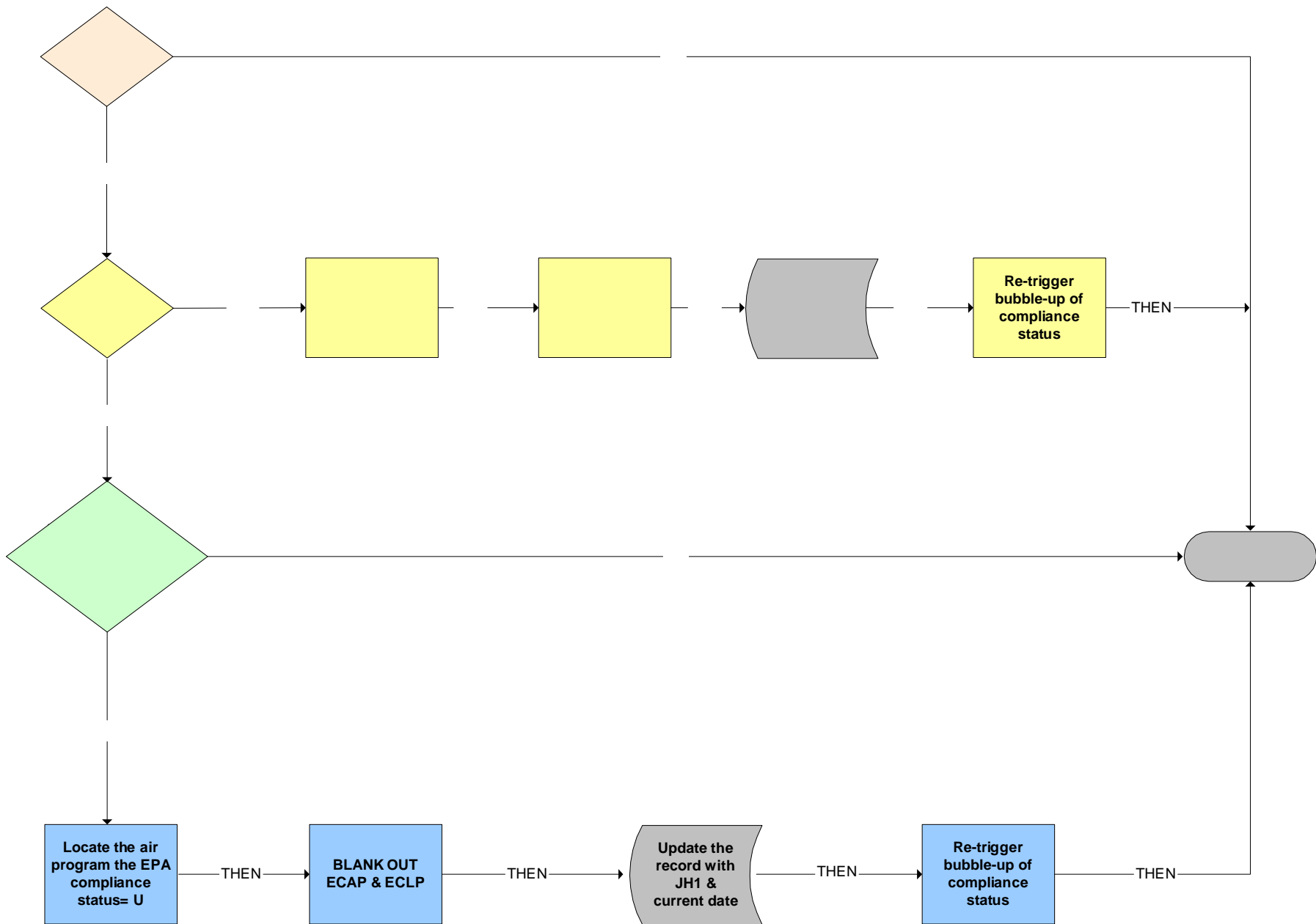


**Generate Unknown Compliance Status Utility**

**Generate Unknown Compliance Status Utility**

Generate Unknown Compliance Status Utility



**Ungenerate Unknown Compliance Status Utility**

***Effect on CMS Start Date  
when CMSC is modified***

<b><u>current value</u></b> <b><u>CMSC</u></b>	<b><u>new value</u></b> <b><u>CMSC</u></b>	<b><u>Effect on</u></b> <b><u>CMS Start Date</u></b>
blank	A	change to current date
blank	M	change to current date
blank	S	change to current date
blank	O	change to current date
A	A	do nothing
A	M	do nothing
A	S	do nothing
A	O	do nothing
A	blank	blank out
M	A	do nothing
M	M	do nothing
M	S	do nothing
M	O	do nothing
S	blank	blank out
S	A	change to current date
S	M	do nothing
S	S	do nothing
S	O	do nothing
O	blank	blank out
O	A	change to current date
O	M	do nothing
O	S	do nothing
O	O	do nothing
O	blank	blank out



**APPENDIX 2**

**AFS STRUCTURE**

**AFS BUSINESS RULES  
STRUCTURE--PLANT GENERAL  
RECORDS IN BOLD TEXT ARE MINIMUM DATA REQUIREMENTS**

**DATE OF LAST UPDATE:**

**07/07/04**

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
AFS PLANT ID	A mandatory 15-digit code identifier for permit information for Permit Program Data Elements (PPDEs). This number must be unique within a county and requires the FIPS state and county codes to uniquely identify a plant in AFS.	PAFS	A	15.0	Most agencies use the SCSC acronym number for populating PAFS (SSCCCCPPPP where S=FIPS State, C=FIPS County, and P=PCDS ID).		N
AFS PLANT IDENTIFICATION NUMBER	System generated. An internal number assigned to each plant in AFS.	PLNT	A/N	9.0	Was used in the ENVIROFACTS system to identify AFS linkages.		N
AIR PROGRAMS	System generated. Lists applicable air programs at a plant. Used in Ad Hoc reporting, lists all air program codes.	APCP	A	8.0			N
AIR QUALITY CONTROL REGION	A system generated field based on user-supplied plant, state, and county values identifying the Air Quality Control Region in which a plant is located.	AQCR	A	3.0			N
AMBIENT MONITORING INFORMATION	OBSOLETE	AMBM	A	1.0			OBSOLETE
<b>CDS PLANT ID</b>	<b>Mandatory 5-digit alphanumeric plant identifier for each plant in AFS. Uniquely identifies a source within a county.</b>	<b>PCDS</b>	<b>A</b>	<b>5.0</b>	<b>Most agencies number plants within a county sequentially as they are added to AFS.</b>		<b>Y</b>
CDS PLANT ID 1	This optional use field identifies the left (first) digit of the PCDS number. It is used in ad hoc retrievals.	PCD1	A	1.0	Some agencies use this acronym to categorize plants.		N
CDS PLANT ID 2	This optional use field identifies the left two (first and second) digits of the PCDS number. It is used in ad hoc retrievals.	PCD2	A	2.0	Some agencies use this acronym to categorize plants.		N
CDS PLANT ID 4	This optional use field identifies the four right most digits of the PCDS number. It is used in ad hoc retrievals.	PCD4	A	4.0	Some agencies use this acronym to categorize plants.		N
CITY CODE	Optional use. A 5-digit FIPS city code used to identify the city in which a plant is located.	CYCD	A	5.0	Entry of either the City Code or City Name is mandatory. Reference the FIPS table in AFS Table File Lookup in the Utilities.		N
CLASSIFICATION CODE	System generated code that provides the plant default classification.	CLAS	A	5.0			N
COMPLIANCE STATUS	System generated code that provides the plant default compliance status.	CMST	A	5.0			N
CONTACT PERSON COMPLIANCE	The name of a person who is knowledgeable about the compliance information for the facility.	CTPC	A	20.0			N
CONTACT PERSON EMISSIONS	OBSOLETE	CTPE	A	20.0			OBSOLETE
CONTINUOUS EMISSIONS INDICATOR	A system generated field when records associated with Continuous Emissions Monitoring information are added or deleted for the plant. Valid value is Y=Yes.	CEM1	A	1.0	CEM data is not part of the MDRs.		N
<b>COUNTY CODE</b>	<b>Mandatory FIPS code used to identify the county in which a plant is located.</b>	<b>CNTY</b>	<b>A</b>	<b>3.0</b>	<b>Reference the FIPS table in AFS Table File Lookup in the Utilities.</b>		<b>Y</b>
COUNTY NAME	System generated field which identifies the county in which a plant is located.	CTNM	A	30.0	Reference the FIPS table in AFS Table File Lookup in the Utilities.		N
DATE DETERMINATION COMPLETED	OBSOLETE	MACD	A	8.0 50			OBSOLETE
DATE PLANT ADDED POST-CMS	A system generated field designed to maintain the date a plant has been added to AFS after the inception of the CMS. This field is used in calculations dealing with unknown compliance status.	DPAC	A	6.0			N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
DATE PLANT INFO LAST UPDATED	System generated field containing the most current date on which changes were made to any record on the plant.	DTUP	A	6.0			N
DATE RECORD IS UPDATED	System generated field containing the most current date on which changes were made to the Plant General record.	DU11	A	6.0			N
DUN BRADSTREET NUMBER	Optional information, this identification number references the source within the Dun and Bradstreet business database. Update access to this field is limited to system administrators.	DBNO	A	9.0	Dun and Bradstreet numbers are not currently up to date in AFS.		N
E S CLASSIFICATION CODE	System generated default classification. This value is generated from the Air Program Pollutant values to reflect the highest emission level classification of criteria pollutants regulated by an air program. This value is generated regardless of Federal or State/Local agency values. Valid Values are: A=Major, SM=Synthetic Minor, B=Minor, C=Unknown.	DCL1	A	2.0	See the Air Program Pollutant records. Values A1 and A2 are obsolete.		N
E S CLASSIFICATION CODE DESC	System generated default classification. This description of the classification code is generated from the Air Program Pollutant values to reflect the highest emission level classification of criteria pollutants regulated by an air program. This value is generated regardless of Federal or State/Local agency values. Valid Values are: A=Major, SM=Synthetic Minor, B=Minor, C=Unknown.	DLD1	A	25.0			N
E S COMPLIANCE STATUS	A system generated default bubble-up value of the most serious compliance status of air program pollutants at a plant. The most serious case (worst to best) is bubbled-up from either the state or federal value. Compliance values fall within 4 categories: In Compliance, Out of Compliance, On Schedule, and Unknown Compliance. Sources with unaddressed High Priority Violations should be listed as Out of Compliance. Title V Annual Compliance Certifications with deviations may or may not be listed as Out of Compliance. See Air Program pollutants for individual values. See the Data Dictionary for all valid values.	DCS1	A	1.0	ECHO interprets a source with a compliance status of On Schedule as in violation.		N
E S COMPLIANCE STATUS DESC	A system generated description of the default bubble-up value of the most serious compliance status of air program pollutants at a plant. The most serious case (worst to best) is bubbled-up from either the state or federal value. Compliance values fall within 4 categories: In Compliance, Out of Compliance, On Schedule, and Unknown Compliance. Sources with unaddressed High Priority Violations should be listed as Out of Compliance. Title V Annual Compliance Certifications with deviations may or may not be listed as Out of Compliance. See Air Program pollutants for individual values. See the Data Dictionary for all valid values.	DDS1	A	25.0			N
EMERGENCY CONTROL PLAN	OBSOLETE	EMCP	A	1.0			OBSOLETE
EMERGENCY CONTROL PLAN DESC	OBSOLETE	EMCD	A	25.0			OBSOLETE

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
EPA CLASSIFICATION CODE	System generated Federal classification. This value is generated from the Air Program Pollutant values to reflect the highest emission level classification of criteria pollutants regulated by an air program. This value is generated from Federal values. Valid Values are: A=Major, SM=Synthetic Minor, B=Minor, C=Unknown.	ECL1	A	2.0			N
EPA CLASSIFICATION CODE DESC	System generated Federal classification. This description of the classification code is generated from the Air Program Pollutant values to reflect the highest emission level classification of criteria pollutants regulated by an air program. This value is generated from Federal values. Valid Values are: A=Major, SM=Synthetic Minor, B=Minor, C=Unknown.	ELD1	A	25.0			N
EPA COMPLIANCE STATUS	A system generated Federal bubble-up value of the most serious compliance status of air program pollutants at a plant. The most serious case (worst to best) is bubbled-up from the Federal value. Compliance values fall within 4 categories: In Compliance, Out of Compliance, On Schedule, and Unknown Compliance. Sources with unaddressed High Priority Violations should be listed as Out of Compliance. Title V Annual Compliance Certifications with deviations may or may not be listed as Out of Compliance. See Air Program pollutants for individual values. See the Data Dictionary for all valid values.	ECS1	A	1.0			N
EPA COMPLIANCE STATUS DESC	A system generated description of the Federal bubble-up value of the most serious compliance status of air program pollutants at a plant. The most serious case (worst to best) is bubbled-up from the Federal value. Compliance values fall within 4 categories: In Compliance, Out of Compliance, On Schedule, and Unknown Compliance. Sources with unaddressed High Priority Violations should be listed as Out of Compliance. Title V Annual Compliance Certifications with deviations may or may not be listed as Out of Compliance. See Air Program pollutants for individual values. See the Data Dictionary for all valid values.	EDS1	A	25.0			N
EPA PLANT IDENTIFICATION NUMBER	A 12-digit number assigned by the Federal Registry System, used by all EPA systems to identify a plant.	PEPA	A/N	12.0	Input by EPA staff only. Special User Profile code R is required. Batch changes are completed by the AFS National Contractors.	Facility	N
FACILITY CAPACITY	OBSOLETE	FCAP	N	7.0			OBSOLETE
FACILITY CAPACITY UNITS	OBSOLETE	FCPU	A	15.0			OBSOLETE

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
GOVERNMENTAL FACILITY CODE	A mandatory field identifying facilities owned or operated by a governmental unit. Valid values are: 0=All other facilities not owned or operated by a Federal, state, or local government; 1=Source owned or operated by the Federal Government; 2=Source owned or operated by the State; 3=Source owned or operated by the County; 4=Source owned or operated by the Municipality; 5=Source owned or operated by the District.	GOVT	A	1.0			Y
GOVT FACILITY CODE DESC	A system generated description of the Governmental Facility Code identifying facilities owned or operated by a governmental unit. Valid values are: 0=All other facilities not owned or operated by a Federal, state, or local government; 1=Source owned or operated by the Federal Government; 2=Source owned or operated by the State; 3=Source owned or operated by the County; 4=Source owned or operated by the Municipality; 5=Source owned or operated by the District.	GOVD	A	25.0			N
INSPECTOR	Optional code to identify a staff member who performed a plant inspection. This code must be a valid value on the Staff Table.	INSR	A	3.0	A valid staff code must be on record in the Staff Table. Access to the Staff Table is limited by special authority on the user profile form.		N
INSPECTOR NAME	System generated optional value, the name of the staff member who performed a plant inspection. This name is generated from a code value on the Staff Table.	INNM	A	15.0	A valid staff code must be on record in the Staff Table. Access to the Staff Table is limited by special authority on the user profile form. It is recommended that inspector names be entered with the last name first, followed by a comma and then first initial or first name, as space allows.		N
INSPECTOR TITLE	Optional code to identify the title of a staff member who performed a plant inspection. The staff code must be a valid value on the Staff Table.	INTT	A	15.0	A valid staff code must be on record in the Staff Table. Access to the Staff Table is limited by special authority on the user profile form. As the Staff Table is a Region-specific table, it is recommended that inspector titles start with the appropriate agency abbreviation for distinction.		N
LATITUDE COORDINATE	OBSOLETE	LAT1	N	6.0			OBSOLETE
LOCAL CONTROL REGION	OBSOLETE	LCON	A	2.0			OBSOLETE
LONGITUDE COORDINATE	OBSOLETE	LON1	N	7.0			OBSOLETE
MACT CATEGORY	OBSOLETE	MACC	A	4.0			OBSOLETE
MACT CATEGORY DESC	OBSOLETE	MCCD	A	60.0			OBSOLETE
MACT IDENTIFIER	OBSOLETE	MACI	A	8.0			OBSOLETE
NAICS CODE	A mandatory code identifying the value of the North American Industrial Classification System (NAICS). Either a NAICS or SIC code is mandatory.	NIC1	A	6.0	Either a SIC or NAICS code is mandatory in AFS to establish a plant.		Y
NAICS CODE & EQUIVALENT SICs	System generated value for ad hoc reporting. Use of this acronym will produce equivalent SIC codes in a retrieval.	NICS	A	6.0			N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
NAICS CODE DESCRIPTION	System generated value of the North American Industrial Classification System. Either a NAICS or SIC code is mandatory.	NCD1	A	75.0	Either a SIC or NAICS code is mandatory in AFS to establish a plant.		N
NEDS PLANT ID	OBSOLETE	PNED	A	4.0	Most agencies use the PCDS number with one less digit for the NEDS ID.		OBSOLETE
NUMBER OF EMPLOYEES	OBSOLETE	NMEP	N	5.0			OBSOLETE
OPERATING STATUS	A one-digit mandatory code identifying the operation condition of a plant. This value is bubbled-up from the plant air program records of AFS and is the most significant operative value of the plant operating status. Valid values are: O=Operating, L=Landfill, R=NESHAP Renovation, D=NESHAP Demolition, S=NESHAP Spraying, I=Seasonal, T=Temporarily Closed, C=Under Construction, P=Planned Facility, X=Permanently Closed. The order of most significant to least (for bubble up purposes): O, L, R, D, S, I, T, C, P, X. Asbestos tracking in AFS is obsolete--Codes R, D, and S should not be used.	OPST	A	1.0	This field does not have state and Federal values. Operating Status O, T, and I are used in National RECAP Retrievals. Operating Statuses L, R, D, and S are considered obsolete. Sources Permanently closed for three years or more should be archived.		N
OPERATING STATUS DESCRIPTION	A system generated bubble-up value of the most significant operative value of the plant operating status. Reference the air program operating status.	OPSD	A	25.0	This field does not have separate state and Federal values.		N
PERSON UPDATING RECORD	A system generated value of the User ID last updating the record.	PU11	A	8.0			N
PLANT CITY	The name of the city or town where the plant is located. If a City Code is entered for a plant, the city name will be generated for valid codes.	CYNM	A	30.0	Entry of either the City Code or City Name is mandatory. Reference the FIPS table in AFS Table File Lookup in the Utilities.		Y
PLANT DESCRIPTION	An optional use field that allows the user to provide a short description of plant operations.	DSC1	A	25.0			N
PLANT NAME	A mandatory field which is the name associated with a plant at a given location. The public or commercial name of a facility site (i.e., the full name that commonly appears on invoices, signs, or other business documents, or as assigned by the state when the name is ambiguous). The name should identify the owning corporation and site name, if applicable. For example, the Twin Oaks site of an Entergy plant would be named "Entergy Twin Oaks", not just "Twin Oaks", or "Enterav".	PNME	A	40.0			Y
PLANT STREET ADDRESS	The address that describes the physical (geographic) location of the front door or main entrance of a facility site, including urban-style street address or rural address.	STRT	A	30.0	PO Boxes are not allowed in this field.		Y
PLANT UTM HORIZONTAL COORDINATE	OBSOLETE	UTH1	N	3.1			OBSOLETE
PLANT UTM VERTICAL COORDINATE	OBSOLETE	UTV1	N	4.1			OBSOLETE
PRIMARY INDUSTRIAL CLASS CODE	A mandatory code identifying the primary Standard Industrial Code (SIC) classifying the main product produced or service performed at the plant. Reference the SIC table in the Utilities.	SIC1	A	4.0	Also see NAICS acronyms: NIC1, NICS, NCD1, SICN		Y
PRIMARY SIC DESCRIPTION	System generated value of the primary SIC description.	SCD1	A	25.0			N
PRINCIPAL PRODUCT	OBSOLETE	PRPR	A	25.0			OBSOLETE

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
PRIORITY CODE	An optional field. A 1-digit code which is used to identify facilities falling into various compliance monitoring priority categories. See the Data Dictionary for valid values.	PRIC	A	1.0	Update access to this field is limited to National EPA personnel. This field is not currently up to date.		N
PRIORITY CODE DESCRIPTION	A system generated field describing the priority code. See the Data Dictionary for valid values.	PRCD	A	25.0	Update access to PRIC is limited to National EPA personnel. This field is not currently up to date.		N
PROPERTY AREA	OBSOLETE	PRAR	N	5.1			OBSOLETE
REGION CODE	A system generated value identifying the EPA region in which the plant is located. The code is generated from the State codes on the AFS FIPS table.	REGN	A	2.0			N
REGIONAL PLANNING AGENCY	An optional field. User-defined code identifying any Regional Planning Agency maintaining jurisdiction over the plant.	RPLA	A	2.0			N
SAROAD STATE CODE	OBSOLETE	SSTT	A	2.0			OBSOLETE
SECONDARY INDUSTRIAL CLASS CODE	An optional code identifying the secondary Standard Industrial Code (SIC) classifying the second most prominent product produced or service performed at the plant.	SIC2	A	4.0	Also see NAICS acroynms: NIC1, NICS, NCD1, SICN		N
SECONDARY SIC DESCRIPTION	System generated value of the secondary SIC description.	SCD2	A	25.0			N
SECTION 112 INDICATOR	OBSOLETE	S112	A	1.0 50			OBSOLETE
SECTION 112 INDICATOR DESC	OBSOLETE	S12D	A	60.0			OBSOLETE
SIC CODE & EQUIVALENT NAICS	A system generated value for ad hoc retrieval use. Use of this acronym in a retrieval specifies an SIC code and will retrieve all equivalent NAICS codes.	SICN	A	4.0	For ad hoc use.		N
SIGNIFICANT VIOLATOR FLAG 1	OBSOLETE	SVI1	A	1.0			OBSOLETE
SIGNIFICANT VIOLATOR FLAG 2	OBSOLETE	SVI2	A	1.0			OBSOLETE
SIGNIFICANT VIOLATOR FLAG 3	OBSOLETE	SVI3	A	1.0			OBSOLETE
SIGNIFICANT VIOLATOR FLAG 4	OBSOLETE	SVI4	A	1.0			OBSOLETE
SIP PROGRAM	OBSOLETE	SIPP	A	5.0			OBSOLETE
SOURCE MONITORING INFORMATION	OBSOLETE	SMON	A	1.0			OBSOLETE
STATE ABBREV	A two-digit alpha postal abbreviation identifying the state in which a plant is located. For valid values, see the Data Dictionary.	STAB	A	2.0			N
STATE CLASSIFICATION CODE	System generated default classification. This value is generated from the Air Program Pollutant values to reflect the highest emission level classification of criteria pollutants regulated by an air program. This value is generated from State/Local agency values. Valid Values are: A=Major, SM=Synthetic Minor, B=Minor, C=Unknown.	SCL1	A	2.0			N
STATE CLASSIFICATION CODE DESC	System generated default classification. This description of the classification code generated from the Air Program Pollutant values to reflect the highest emission level classification of criteria pollutants regulated by an air program. This value is generated from State/Local agency values. Valid Values are: A=Major, SM=Synthetic Minor, B=Minor, C=Unknown.	SLD1	A	25.0			N
STATE CODE	<b>Mandatory code used to identify the state in which a plant is located. FIPS code for the state the source in which a plant is located.</b>	STTE	A	2.0			Y

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
STATE COMPLIANCE STATUS	A system generated State bubble-up value of the most serious compliance status of air program pollutants at a plant. The most serious case (worst to best) is bubbled-up from the State value. Compliance values fall within 4 categories: In Compliance, Out of Compliance, On Schedule, and Unknown Compliance. Sources with unaddressed High Priority Violations should be listed as Out of Compliance. Title V Annual Compliance Certifications with deviations may or may not be listed as Out of Compliance. See Air Program pollutants for individual values. See the Data Dictionary for all valid values.	SCS1	A	1.0			N
STATE COMPLIANCE STATUS DESC	A system generated description of the State bubble-up value of the most serious compliance status of air program pollutants at a plant. The most serious case (worst to best) is bubbled-up from the State value. Compliance values fall within 4 categories: In Compliance, Out of Compliance, On Schedule, and Unknown Compliance. Sources with unaddressed High Priority Violations should be listed as Out of Compliance. Title V Annual Compliance Certifications with deviations may or may not be listed as Out of Compliance. See Air Program pollutants for individual values. See the Data Dictionary for all valid values.	SDS1	A	25.0			N
STATE COUNTY EMISSIONS SOURCE	OBSOLETE	SCSE	A	9.0			OBSOLETE
STATE EMISSIONS DATA ELEMENT 1	OBSOLETE	SD01	A	3.0			OBSOLETE
STATE EMISSIONS DATA ELEMENT 9	OBSOLETE	SD09	A	30.0			OBSOLETE
STATE NAME	System generated field which identifies the state which a plant is located within.	STNM	A	20.0	Spells out a state name.		N
STATE PRIVATE INDICATOR	An optional field available only to authorized state users indicating whether informaiton contained on a record is not federally reportable and designated state private. Valid values are Y=Yes, N=No. Y on SP11 indicates that the entire plant is State Private.	SP11	A	1.0	Update access limited to authorized state users.		N
STATE REGISTRATION NUMBER	Optional value, a state assigned identifier used to identify a plant. Usually a value from a state system.	STRS	A	15.0	Although optional, it is recommended that this value be populated in AFS if there is a corresponding state/local value.		N
STATE-COUNTY-SOURCE ID	Optional use field in retrievals. A 10-digit character field identifying a facility through the concatenation of the FIPS State, FIPS County, and PCDS source ID number.	SCSC	A	10.0	Commonly known as the AFS ID number, not to be confused with the AFS Permit ID number, PAFS. Key number for Envirofacts sources.		N
STATUS AREA	OBSOLETE	STAT	A	5.0			OBSOLETE
SUB CATEGORY	OBSOLETE	MACS	A	4.0			OBSOLETE
SUB CATEGORY DESC	OBSOLETE	MCS D	A	60.0			OBSOLETE
TELEPHONE AREA CODE COMPLIANCE	Optional use field. Telephone area code of a compliance program contact.	TLAC	A	3.0			N
TELEPHONE AREA CODE EMISSIONS	OBSOLETE	TLAE	A	3.0			OBSOLETE
TELEPHONE NUMBER COMPLIANCE	Optional use field. Telephone number of a compliance program contact.	TLNC	A	7.0			N
TELEPHONE NUMBER EMISSIONS	OBSOLETE	TLNE	A	7.0			OBSOLETE



DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
TERTIARY INDUSTRIAL CLASS CODE	An optional code identifying the tertiary Standard Industrial Code (SIC) classifying the third most prominent product produced or service performed at the plant.	SIC3	A	4.0	Also see NAICS acroynms: NIC1, NICS, NCD1, SICN		N
TERTIARY SIC DESCRIPTION	Sysem generated value of the tertiary SIC description.	SCD3	A	25.0			N
USER PLANT ID	OBSOLETE	UDPL	A	12.0			OBSOLETE
UTM ZONE	OBSOLETE	UTZ1	N	2.0			OBSOLETE
YEAR OF EMISSIONS INVENTORY	OBSOLETE	YINV	A	2.0			OBSOLETE
ZIP CODE	Mandatory field, the zip code for the plant address.	ZIPC	A	9.0	Reported in conjunction with the Plant Street Address and City.		Y

## STRUCTURE--PLANT AIR PROGRAM AND POLLUTANT

SOURCES IN BOLD ARE MINIMUM DATA REQUIREMENTS

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDAR D	MDR?
AIR PROGRAM CODE	The mandatory 1-character code used to identify the regulatory air program(s) a plant is subject to. See the Data Dictionary for valid values.	APC1	A	1.0			Y
AIR PROGRAM DESCRIPTION	System generated description of the air program code. See the Data Dictionary for valid values.	APD1	A	25.0			N
AIR PROGRAM STATUS DESCRIPTION	System generated description of the air program operational status. The most significant value will bubble up to the Plant General Record. The value of most significant operative value to least is: O=Operating, L=Landfill, R=NESHAP Renovation, D=NESHAP Demolition, S=NESHAP Spraying, I=Seasonal, T=Temporarily Closed, C=Under Construction, P=Planned Facility, X=Permanently Closed.	ASD1	A	25.0			N
AIR PROGRAM STATUS	Mandatory field representing the operational condition of a plant associated with a given air program. The most significant value will bubble up to the Plant General Record. The value of most significant operative value to least is: O=Operating, I=Seasonal, T=Temporarily Closed, C=Under Construction, P=Planned Facility, X=Permanently Closed. Values L=Landfill, R=NESHAP Renovation, D=NESHAP Demolition and S=NESHAP Spraying are obsolete and should not be used.	AST1	A	1.0	Statuses O, T, and I are used in the National RECAP reporting measures.		Y
CHEMICAL ABSTRACT SERVICE NUMBER	Mandatory Chemical Abstract Service Number associated with a pollutant, if the pollutant is not reported by the 5-character pollutant code (PLAP).	CAPP	A	9.0	If a CAS number is entered for which AFS also maintains an AFS pollutant code (PLAP), the pollutant code will be generated by AFS.		Y
CASN DESCRIPTION	System generated description of the Chemical Abstract Service Number.	CSPP	A	75.0			N
E S ATTAIN NONATTAIN IND DESC--DEFAULT VALUE	System generated default value description of the Attainment/Nonattainment Indicator.	DATN	A	25.0	This default bubble up value does not generate the "worst case" of the EPA and State fields. If the EPA field differs from the State, it will bubble up the EPA value.		N
E S ATTAIN NONATTAIN INDICATOR--DEFAULT BUBBLE UP VALUE	System generated default value identifying the criteria pollutant attainment status for the county in which the plant is located. This is a default value which will generate the EPA Attainment Nonattainment Indicator if the value differs from a State value. See the Data Dictionary for valid values.	DATT	A	1.0	This default bubble up value does not generate the "worst case" of the EPA and State fields. If the EPA field differs from the State, it will bubble up the EPA value.		N
E S COMPLIANCE STATUS--DEFAULT VALUE FOR AIR PROGRAM PLANT	System generated one-digit code which reflects the default value (worst case scenario) of the compliance status at a facility with regard to an air program. Compliance falls within 4 categories: In Violation, Out of Violation, Meeting Schedule, and Unknown. See the Data Dictionary for valid values.	DCA1	A	1.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
E S PLLT COMPLIANCE STATUS	System generated one-digit code which reflects the default value (worst case scenario) of the compliance status at a facility with regard to an air program pollutant. Compliance falls within 4 categories: In Violation, Out of Violation, Meeting Schedule, and Unknown. See the Data Dictionary for valid values.	DCAP	A	1.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDAR D	MDR?
E S CLASSIFICATION CODE--DEFAULT PLANT BUBBLE UP VALUE	System generated value from State Pollutant (SCLP), Air Program (SCD1), the EPA Pollutant (ECLP) and Air Program (ECL1) records. This field is widely used in all National RECAP reports. A two-digit field categorizing the emission size of an air program. Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source. Plant classification is generated from air program pollutant classes to reflect the highest emission level classification at a plant.	DCL1	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
EPA POLLUTANT CLASSIFICATION--DEFAULT AIR PROGRAM POLLUTANT RECORD	System generated value from State Pollutant (SCLP) and EPA Pollutant (ECLP) records. A two-digit field categorizing the emission size of an air program. Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source. Plant classification is generated from air program pollutant classes to reflect the highest emission level classification at a plant.	DCLP	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
E S COMPLIANCE STATUS DESC--DEFAULT BUBBLE UP VALUE AIR PROGRAM PLANT	System generated description of the Default bubble up value from State and EPA Air Program (DCA1) records.	DDA1	A	25.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
E S PLLT COMPLIANCE STATUS DESC--DEFAULT BUBBLE UP VALUE AIR PROGRAM POLLUTANT	System generated description of the Default bubble up value from State and EPA Air Program Pollutant (DCAP) records.	DDAP	A	25.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
E S CLASSIFICATION CODE DESCRIPTION--DEFAULT AIR PROGRAM PLANT BUBBLE UP VALUE	System generated description of the E S Classification Code-Default Air Program Plant Bubble Up Value (DLA1).	DDL1	A	25.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
E S CLASSIFITION CODE--DEFAULT AIR PROGRAM PLANT BUBBLE UP VALUE	System generated value from State Pollutant (SCLP) and Air Program (SCD1) and the EPA Pollutant (ECLP) and Air Program (ECL1) records. This field is widely used in all National RECAP reports. A two-digit field categorizing the emission size of an air program. Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source. Plant classification is generated from air program pollutant classes to reflect the highest emission level classification at a plant.	DLA1	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
EPA POLLUTANT CLASSIFICATION DESCRIPTION--DEFAULT AIR PROGRAM POLLUTANT BUBBLE UP VALUE	System generated description of the Default bubble up value from State Pollutant (SCLP) and EPA Pollutant (ECLP) records.	DLAP	A	25.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
E S CLASSIFICATION CODE DESC--DEFAULT BUBBLE UP VALUE	System generated description of the Default EPA/State Classification Code (DCL1).	DLD1	A	25.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
DATE RECORD IS UPDATED	System generated value containing the most current date on which the air program record was updated.	DU13	A	6.0			N
DATE RECORD IS UPDATED	System generated value containing the most current date on which the air program pollutant record was updated.	DU14	A	6.0			N
EPA ATTAIN NONATTAIN IND DESC	System generated description of the EPA Attainment/Nonattainment Indicator (EATT).	EATN	A	25.0			N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDAR D	MDR?
EPA ATTAIN NONATTAIN INDICATOR	Optional field identifying the criteria pollutant attainment status for the county in which the plant is located. This field is used when an EPA Attainment/Nonattainment Indicator value differs from a value submitted by the State. See the Data Dictionary for valid values.	EATT	A	1.0	The attainment field should be populated for any criteria pollutant outlined in the National Ambient Air Quality Standards (Lead, VOC, PT, PM10, SO2, NO2). This field is not automatically updated, and must be revised when the NAAQS are reset. EPA will reset values if State values are found to be incorrect.		N
EPA COMPLIANCE STATUS--AIR PROGRAM PLANT	System generated optional use field for EPA. A one-digit code which reflects the EPA's determination of the compliance status at a facility with regard to an air program. This value bubbles up from individual EPA Air Program Pollutant values (ECAP). This value is normally populated only when the EPA assessment differs from the State. Compliance falls within 4 categories: In Violation, Out of Violation, Meeting Schedule, and Unknown. See the Data Dictionary for valid values.	ECA1	A	1.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
EPA PLLT COMPLIANCE STATUS--AIR PROGRAM POLLUTANT	Optional use field for EPA. A one-digit code which reflects the EPA's determination of the compliance status at a facility with regard to an air program pollutant. This value is normally populated only when the EPA assessment differs from the State. Compliance falls within 4 categories: In Violation, Out of Violation, Meeting Schedule, and Unknown. See the Data Dictionary for valid values.	ECAP	A	1.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
EPA CLASSIFICATION CODE--EPA PLANT GENERAL	System generated value from optional use field EPA Air Program Classification ELA1. A two-digit field categorizing the emission size of an air program. Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source. Plant classification is generated from air program pollutant classes to reflect the highest emission level classification at a plant. This field is used when an EPA classification value differs from the classification value submitted by a state.	ECL1	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
EPA POLLUTANT CLASSIFICATION--EPA AIR PROGRAM POLLUTANT	Optional use field for EPA. A two-digit field categorizing the emission size of an air program pollutant. Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source. Plant classification is generated from air program pollutant classes to reflect the highest emission level classification at a plant. This field is used when an EPA classification value differs from the classification value submitted by a state.	ECLP	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
EPA COMPLIANCE STATUS DESC	System generated description of the EPA Compliance Status at the air program record (ECA1).	EDA1	A	25.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
EPA PLLT COMPLIANCE STATUS DESC	System generated description of the EPA Compliance Status at the air program pollutant record (ECAP).	EDAP	A	25.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
EPA CLASSIFICATION CODE DESC AIR PROGRAM PLANT	System generated descriptio of the EPA Classification Code (ELA1) for the air program record.	EDL1	A	25.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDAR D	MDR?
EPA CLASSIFICATION CODE-AIR PROGRAM PLANT	System generated value from optional use field EPA Pollutant Classification ECLP. A two-digit field categorizing the emission size of an air program. Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source. Plant classification is generated from air program pollutant classes to reflect the highest emission level classification at a plant. This field is used when an EPA classification value differs from the classification value submitted by a state.	ELA1	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
EPA PLLT CLASS CODE DESC	System generated description of the EPA Pollutant Classification (ECLP) for the air program pollutant record.	ELAP	A	25.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
EVEN INSP FREQUENCY	OBSOLETE	INFE	A	2.0			N
ODD INSP FREQUENCY	OBSOLETE	INFO	A	2.0			N
EVEN INSP STRATEGY	OBSOLETE	ISGE	A	1.0			N
ODD INSP STRATEGY	OBSOLETE	ISGO	A	1.0			N
LOADING DERIVATION CODE	An optional 1-character code indicating which of emissions were used to determine plant pollutant classification. Valid Values are A=Actual or estimated actual; P=Potential controlled per Alabama Power Decision; I=Incomplete source loading information.	LOAD	A	1.0			N
LOADING DERIVATION CODE DESC	An optional description of the Loading Derivation Code indicating which of emissions were used to determine plant pollutant classification. Valid Values are A-Actual or estimated actual; P- Potential controlled per Alabama Power Decision; I-Incomplete source loading information.	LODD	A	25.0			N
POLLUTANT DESCRIPTION	A system generated value of the pollutant code. See the Data Dictionary for valid values.	PDAP	A	75.0			N
POLLUTANT CODE	<b>A mandatory 5-character code identifying a pollutant tracked at the plant level. See the Data Dictionary for valid values.</b>	PLAP	A	5.0	<b>Either the PLAP or CASN (Chemical Abstract Service Number) are mandatory reporting for each pollutant.</b>		Y
PERSON UPDATING RECORD	A system generated value of the User ID last updating their program pollutant record.	PU13	A	8.0			N
REGIONAL DATA ELEMENT 15	Regionally-defined value on the Air Program record.	R151	A	1.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 1	Regionally-defined value on the Air Program record. Valid values are 0-9, or A-Z.	RD01	A	1.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 2	Regionally-defined value on the Air Program record. Valid values are 0-9, or A-Z.	RD02	A	1.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 3	Regionally-defined value on the Air Program record. Valid values are 0-9, or A-Z.	RD03	A	1.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 4	Regionally-defined value on the Air Program record.	RD04	A	5.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDAR D	MDR?
REGIONAL DATA ELEMENT 5	Regionally-defined value on the Air Program record.	RD05	A	5.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 6	Regionally-defined value on the Air Program record.	RD06	A	10.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 9	Regionally-defined value on the Air Program record.	RD09	A	7.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 10	Regionally-defined value on the Air Program record.	RD10	A	2.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 11	Regionally-defined value on the Air Program record.	RD11	A	2.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 12	Regionally-defined value on the Air Program record.	RD12	A	1.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 14	Regionally-defined value on the Air Program Pollutant record.	RD14	A	1.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REGIONAL DATA ELEMENT 7	Regionally-defined value on the Air Program record. Valid values are 0-9, or A-Z.	RD71	A	1.0	Use of Regional Data Elements is encouraged, however, use of these fields should be defined in either a Quality Assurance Project Plan or via some other instrument to the Regional Office.		N
REPORTING REQUIREMENTS TO REGION	OBSOLETE	RREQ	A	1.0			N
REPORTING REQU TO REGION DESC	OBSOLETE	RRQD	A	25.0			N
REPEAT VIOLATION DATE	OBSOLETE	RVDT	A	4.0			N
REPEATING VIOLATOR FLAG	OBSOLETE	RVFL	A	4.0			N
STATE ATTAIN NONATTAIN IND DESC	System generated description of the State Attainment/Nonattainment Indicator.	SATN	A	25.0			N
STATE ATTAIN NONATTAIN INDICATOR	<b>Required field identifying the criteria pollutant attainment status for the county in which the plant is located. Mandatory for air programs other than NESHAP and in conjunction with the following criteria pollutants: CO, NOX, VOC, PT, PM 10, SO2.</b>	SATT	A	1.0	<b>The attainment field should be populated for any criteria pollutant outlined in the National Ambient Air Quality Standards (Lead, VOC, PT, PM10, SO2, NO2). This field is not automatically updated, and must be revised when the NAAQS are reset. It is recommended these values be reviewed for accuracy on a quarterly basis.</b>		Y
STATE COMPLIANCE STATUS--AIR PROGRAM PLANT	System generated field from State air program pollutant (SCAP) records. A one-digit code which reflects the EPA's determination of the compliance status at a facility with regard to an air program pollutant. Compliance falls within 4 categories: In Violation, Out of Violation, Meeting Schedule, and Unknown. See the Data Dictionary for valid values.	SCA1	A	1.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDAR D	MDR?
STATE PLLT COMPLIANCE STATUS--AIR PROGRAM POLLUTANT	Mandatory one-digit code which reflects the State's determination of the compliance status at a facility with regard to an air program pollutant. Compliance falls within 4 categories: In Violation, Out of Violation, Meeting Schedule, and Unknown. See the Data Dictionary for valid values.	SCAP	A	1.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		Y
STAFF CODE	Optional code to identify a staff member who performed a plant inspection. This code must be a valid value on the Staff Table.	SCCA	A	3.0	A valid staff code must be on record in the Staff Table. Access to the Staff Table is limited by special authority on the user profile form.		N
STATE CLASSIFICATION CODE-PLANT GENERAL	System generated two-digit field categorizing the emission size of State air programs bubbled up from individual State air programs (SLA1). Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source.	SCD1	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
STATE POLLUTANT CLASSIFICATION	Mandatory. A two-digit field categorizing the emission size of a State air program pollutant. Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source. Valid Values are A=Major, SM=Synthetic Minor, B=Minor, C=Unknown. Values A1, A2, E1, E2, ND, and UK are considered obsolete.	SCLP	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		Y
STATE PLANT COMPLIANCE STATUS--PLANT GENERAL BUBBLE UP VALUE	System generated field from State air program (SCS1) records. A one-digit code which reflects the EPA's determination of the compliance status at a facility with regard to an air program pollutant. Compliance falls within 4 categories: In Violation, Out of Violation, Meeting Schedule, and Unknown. See the Data Dictionary for valid values.	SCS1	A	1.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
STATE COMPLIANCE STATUS DESC--AIR PROGRAM	System generated description of the State Compliance Status of air program records (SCA1).	SDA1	A	25.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
STATE PLLT COMPLIANCE DESC--AIR PROGRAM POLLUTANT	System generated description of the State Compliance Status of air program pollutant records (SCAP).	SDAP	A	25.0	The worst case scenario of compliance will bubble up to the plant level of AFS regardless if the field is reported by EPA or State.		N
STATE CLASSIFICATION CODE DESC	System generated descriptio of the State Air Program Plant Classification Code (SLA1).	SDL1	A	25.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
STATE IMPLEMENTATION PLAN	OBSOLETE	SIP1	A	1.0			N
STATE CLASSIFICATION CODE--AIR PROGRAM	System generated two-digit field categorizing the emission size of a State air program bubbled up from individual State air program pollutants (SCLP). Class definition is defined by the April 1993 EPA Compliance Monitoring Branch and the Alabama Power Decision's Definition of major source.	SLA1	A	2.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
STATE PLLT CLASS CODE DESC--AIR PROGRAM POLLUTANT	System generated description of the State Pollutant Classification (SCLP).	SLAP	A	25.0	The highest classification of the classification fields will bubble up to the plant level of AFS regardless if the field is reported by EPA or State. Values A1, A2, E1, E2, ND, UK are considered obsolete.		N
STAFF NAME	System generated optional value, the name of the staff member who performed a plant inspection. This name is generated from a code value on the Staff Table.	SNCA	A	15.0	A valid staff code must be on record in the Staff Table. Access to the Staff Table is limited by special authority on the user profile form. It is recommended that inspector names be entered with the last name first, followed by a comma and then first initial or first name, as space allows.		N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDAR D	MDR?
SUBPART DESCRIPTION	System generated description of the subparts codes. The descriptions are derived from Sections 61, 60, and 63 of the Code of Federal Regulations.	SPD1	A	60.0			N
SUBPART HORIZONTAL	System generated field providing a value of all subpart records for a plant.	SPH1	A	53.0	Used in ad hoc reporting.		N
SUBPART	This optional use field provides space for up to nine instances of a subpart value for the NESHAP, NSPS, or MACT NESHAP air program. The subpart information pertains to Sections 61, 60, and 63 of the Code of Federal Regulations respectively.	SPT1	A	5.0	Valuable information for air program planning.		N
STAFF TITLE	Optional code to identify the title of a staff member who performed a plant inspection. The staff code must be a valid value on the Staff Table.	STCA	A	15.0	A valid staff code must be on record in the Staff Table. Access to the Staff Table is limited by special authority on the user profile form. As the Staff Table is a Region-specific table, it is recommended that inspector titles start with the appropriate agency abbreviation for distinction.		N
STATE REGULATION NUMBER	Optional field identifying the applicable state regulation governing pollutant emission tracking at the air program pollutant level/	STL1	A	15.0			N
TOXICITY LEVEL	OBSOLETE	TOXL	A	1.0			N
TURNOVER COMPLIANCE FLAG	OBSOLETE	TURN	N	3.0			N
EVEN YEAR OF INSP FREQ	OBSOLETE	YIFE	A	2.0			N
ODD YEAR OF INSP FREQ	OBSOLETE	YIFO	A	2.0			N



DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD/MATCH	MDR?
HPV KEY ACTION	This field does not have a retrievable acroynm. This is a question answered by the user when entering action data online. After indicating the action number, the user is asked "Is this a Key Action, Yes or No?" When indicating YES, AFS will generate the HPV linking screen. Batch users identify key actions by action number (HP1A).		A	1.0	Not retrievable in Ad Hoc, see HP1A, HPV Action Number.		Y-Used to link all applicable actions
HPV ACTION NUMBER	System generated field for use in ad hoc reports. This acroynm will generate up to 12 occurrences of the HPV flag in a horizontal line.	HPVA	N	3.0	For Ad Hoc use.		N
HPV EFFECTIVE DATE	System generated field for use in ad hoc reports. This acroynm will generate the effective date of up to 12 occurrences of HPV in a horizontal line.	HPVE	A	8.0	For Ad Hoc use.		N
HPV FLAG	System generated flag value from linked actions. This acroynm will retrieval up to 12 occurrences of the HPV Flag. This acroynm is best used in conjunction with HPVE, Historic HPV Effective Date, and AFS generates the flag based on mapped actions to State/Federal Day Zero and Addressing Actions, and remove the flag for Resolution Actions. Valid values are: S=State Unaddressed HPV, T=State Addressed HPV, E=Federal Unaddressed, F=Federal Addressed HPV, JOINT.	HPVF	A	1.0			N
HPV FLAG SOURCE	System generated from linked actions. AFS will generate an "S" for state lead violations, an "E" for Federal lead violations, and an "J" for joint lead violations.	HPVS	A	1.0			Y
HPV FLAG UPDATED DATE	System generated value indicating the date an HPV flag is generated.	HPVU	A	8.0			N
HPV FLAG UPDATED BY USER	System generated value indicating the User ID of the person entering an action that generated a flag.	HPVP	A	3.0			N
HPV ACTION NUMBER	System generated acroynm for the State or Federal Day Zero action-current violation action number. This number will serve as the key for the violation pathway. All activities pertaining to this violation will have to be linked in AFS to this action number. Action numbers are numeric, can be system generated or user specified. Valid values for actions are 001-998.	HP1A	N	3.0	In some Regions, Federal users maintain a separate table of action numbers from the state. This numbering arrangement is used in batch file submittals, to avoid overwriting data. Action number '999' used in AFS will generate the next sequential number available in the current action table.		Y-Used to link all applicable actions
HPV EFFECTIVE DATE	System generated acroynm for the effective date of the current violation.	HP1E	A	8.0	Format is YYYYMMDD.		N
HPV FLAG	System generated flag value of the current HPV violation from linked actions. AFS will generate the flag based on mapped actions to State/Federal Day Zero and Addressing Actions, and remove the flag for Resolution Actions. Valid values are: S=State Unaddressed HPV, T=State Addressed HPV, E=Federal Unaddressed, F=Federal Addressed HPV, JOINT.	HP1F	A	1.0			N
HPV FLAG SOURCE	System generated field identifying the source of an HPV flag.	HP1S	A	1.0	For Ad Hoc use.		N
HPV FLAG UPDATED DATE	System generated field identifying the date an HPV flag is updated.	HP1U	A	8.0	For Ad Hoc use.		N
HPV FLAG UPDATED BY USER	System generated field identifying the user ID of the person last updating the HPV screens.	HP1P	A	3.0			N

AFS BUSINESS RULES  
STRUCTURE--PLANT COMPLIANCE MONITORING STRATEGY

DATE OF LAST UPDATE:

7/7/2004

REFERENCE: The Clean Air Act Stationary Source Compliance Monitoring Strategy; AFS Technical Support Document, Draft July 17, 2002

RECORDS IN BOLD TEXT ARE MINIMUM DATA REQUIREMENTS.

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
CMS COMMENT	Optional use field to enter additional information. Users can document CMS negotiations or comment on inspection frequency.	CM19	A	39.0	Read access is limited to users with sensitive read authority.		N
<b>CMS MIN FREQUENCY INDICATOR</b>	<b>Mandatory field for major sources. Used to indicate the number of years between Full Compliance Evaluations. Used for facilities subject to CMS. Valid values are 1-9, default values are: 2=Major Source, 3=Mega Source, 5=80% Synthethic Minor. This indicator is used in the calculation of Unknown Compliance Status--the date of the last FCE is compared to the current date and this frequency indicator. If the date of the last FCE is outside of the years of frequency, the source is assigned with an Unknown Compliance Status.</b>	<b>CMSI</b>	<b>A</b>	<b>1.0</b>	<b>Update access requires special access code, read ability only with sensitive read access. AFS will generate an unknown compliance status only after 2 years of the last FCE, regardless if the frequency indicator is set to 1.</b>		<b>Y</b>
CMS PLANT FILTER	Optional use field for Ad Hoc retrievals only. Used to identify sources with a planned FCE reported in the fields CMYA-CMYE. Use of this acroynm helps to streamline ad hoc criteria.	CMFY	A	4.0	Ad Hoc retrieval use only.		N
<b>CMS SOURCE CATEGORY</b>	<b>Mandatory field for major sources. Used to indicate the source category to which a facility subject to CMS belongs. Valid values are: A=Title V Major, M=Mega Site, O=Other/Alternate Facility, S=80% Synthetic Minor .</b>	<b>CMSC</b>	<b>A</b>	<b>1.0</b>	<b>All Class A Major sources are to be included in the CMS Universe. Minor sources may be included only if negotiated with the Region. Update access requires special access code, read ability only with sensitive read access.</b>		<b>Y</b>
CMS SOURCE CATEGORY DESCRIPTION	System Generated. Description of the CMS Source Category.	CMSD	A	25.0			N
DATE RECORD IS UPDATED	System Generated. Date of last update to the CMS record. Provided with the User ID of the person updating the record.	DU19	A	8.0			N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
E S LATEST FCE DATE ACHIEVED	System Generated. The most recent FCE date at a plant, regardless if the FCE was completed by a Federal, State, or Local Agency.	DFD1	A	8.0	This field is generated by mapped Regional Action Types to the National Action Types for FCEs. The date should reflect the first day of inspection (for onsite inspections) or the date a review was completed (for offsite inspections).		N
E S LATEST FCE ACTION TYPE	System Generated. The action type of the most recent FCE at a plant, regardless if the FCE was completed by a Federal, State, or Local Agency.	DFT1	A	2.0	This field is generated by mapped Regional Action Types to the National Action Types for FCEs. The date should reflect the first day of inspection (for onsite inspections) or the date a review was completed (for offsite inspections).		N
EPA LATEST FCE DATE ACHIEVED	System Generated. The date of the most recent Federal FCE at a plant.	EFD1	A	8.0	This field is generated by mapped Regional Action Types to the National Action Types for FCEs. The date should reflect the first day of inspection (for onsite inspections) or the date a review was completed (for offsite inspections).		N
EPA LATEST FCE ACTION TYPE	System Generated. The action type of the most recent Federal FCE at a plant.	EFT1	A	2.0	This field is generated by mapped Regional Action Types to the National Action Types for FCEs. The date should reflect the first day of inspection (for onsite inspections) or the date a review was completed (for offsite inspections).		N
FISCAL YEAR FCE A	Option use field. Fiscal year entered, identifying when an FCE has been scheduled as part of the CMS plan. Five years of values are available, value must be 2002 or greater. Enforcement sensitive.	CMYA	A	4.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
FISCAL YEAR FCE B	Option use field. Fiscal year entered, identifying when an FCE has been scheduled as part of the CMS plan. Five years of values are available, value must be 2002 or greater. Enforcement sensitive.	CMYB	A	4.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
FISCAL YEAR FCE C	Option use field. Fiscal year entered, identifying when an FCE has been scheduled as part of the CMS plan. Five years of values are available, value must be 2002 or greater. Enforcement sensitive.	CMYC	A	4.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
FISCAL YEAR FCE D	Option use field. Fiscal year entered, identifying when an FCE has been scheduled as part of the CMS plan. Five years of values are available, value must be 2002 or greater. Enforcement sensitive.	CMYD	A	4.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
FISCAL YEAR FCE E	Option use field. Fiscal year entered, identifying when an FCE has been scheduled as part of the CMS plan. Five years of values are available, value must be 2002 or greater. Enforcement sensitive.	CMYE	A	4.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
ON SITE VISIT INDICATOR A	Option use field. A Yes/No (Y/N) indicator used in conjunction with the Fiscal Year FCE A-E which indicates if an onsite visit is planned for a given fiscal year. Default value is Y for yes. Five years of values are available, value must be Y or N. Enforcement sensitive.	CMOA	A	1.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
ON SITE VISIT INDICATOR B	Option use field. A Yes/No (Y/N) indicator used in conjunction with the Fiscal Year FCE A-E which indicates if an onsite visit is planned for a given fiscal year. Default value is Y for yes. Five years of values are available, value must be Y or N. Enfo	CMOB	A	1.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
ON SITE VISIT INDICATOR C	Option use field. A Yes/No (Y/N) indicator used in conjunction with the Fiscal Year FCE A-E which indicates if an onsite visit is planned for a given fiscal year. Default value is Y for yes. Five years of values are available, value must be Y or N. Enfo	CMOC	A	1.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
ON SITE VISIT INDICATOR D	Option use field. A Yes/No (Y/N) indicator used in conjunction with the Fiscal Year FCE A-E which indicates if an onsite visit is planned for a given fiscal year. Default value is Y for yes. Five years of values are available, value must be Y or N. Enfo	CMOD	A	1.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
ON SITE VISIT INDICATOR E	Option use field. A Yes/No (Y/N) indicator used in conjunction with the Fiscal Year FCE A-E which indicates if an onsite visit is planned for a given fiscal year. Default value is Y for yes. Five years of values are available, value must be Y or N. Enfo	CMOE	A	1.0	Update access restricted by special access code. Read access is limited to users with sensitive read authority.		N
PERSON UPDATING RECORD	A system generated field indicating the User ID of the person to last update the CMS record. Provided with the date of the update.	PU19	A	8.0			N

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	ACROYNM	TYPE	WIDTH	COMMENT	EPA DATA STANDARD	MDR?
STATE LATEST FCE DATE ACHIEVED	System Generated. The most recent State or Local Agency FCE date at a plant.	SFD1	A	8.0	This field is generated by mapped Regional Action Types to the National Action Types for FCEs. The date should reflect the first day of inspection (for onsite inspections) or the date a review was completed (for offsite inspections).		N
STATE LATEST FCE ACTION TYPE	System Generated. The action type of the most recent State or Local Agency FCE at a plant.	SFT1	A	2.0	This field is generated by mapped Regional Action Types to the National Action Types for FCEs. The date should reflect the first day of inspection (for onsite inspections) or the date a review was completed (for offsite inspections).		N

**APPENDIX 3**

**SUGGESTED ACTION TYPES FOR**

**AFS REPORTING**

**(BY REGION)**

## REGION 1 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	FE-R		EPA CONDUCTED FCE/ON-SITE	
FZ	FZ-R		EPA CONDUCTED FCE/OFF-SITE	
FS		FS-R	STATE CONDUCTED FCE/ON-SITE	
FF		FF-R	STATE CONDUCTED FCE/OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	EI-R		EPA INVESTIGATION STARTED	
EC	EC-R		EPA INVESTIGATION CONDUCTED	
SI		SI-R	STATE INVESTIGATION STARTED	
SC		SC-R	STATE INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	ES-R	ES-R	EPA CONDUCTED PCE/ON-SITE	
ES	M6-R	M6-R	EPA CMS QA OBSERVATION (60.13)	
ES	M8-R	M8-R	EPA CMS AUDIT CONDUCTED	
ES	J5-R	J5-R	VISIBLE EMISSIONS EVALUATION (RM9) BY EPA	
ES	R7-R	R7-R	EPA COMPLAINT INSPECTION	
PS		14-R	STATE PARTIAL INSPECTION	
PS		15-R	STATE VISIT FOR PERMITTING	
PS		17-R	STATE COMPLAINT INSPECTION	
PS		PS-R	STATE PCE/ON-SITE	
PS		36-R	SAMPLE TAKEN	
PS		SP-R	STATE ON-SITE INSP. PIECE OF AN FCE	
PS		J7-R	VISIBLE EMISSION EVALUATION (RM9) BY STATE	
PS		A9-R	SOURCE REGISTRATION VERIFIED BY INSPECTION	
PS		M2-R	STATE CMS AUDIT CONDUCTED	
PS		M5-R	STATE CMS QA OBSERVATION (60.13)	
EX	EX-R		EPA CONDUCTED PCE/OFF-SITE	
PX	E4-R	E4-R	EMISSION TEST RESULTS REVIEWED BY STATE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2A	73-R		EPA SOURCE TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	M7-R		PERFORMANCE TEST EPA REQUIRED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	TE-R		EPA REQ (O/O COND) STACK TEST/NOT OBSVD BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		37-R	STATE SOURCE TEST	Results Code:Pass(PP) or Fail(FF).
3A		E2-R	EMISSION TEST STATE REQUIRED	Results Code:Pass(PP) or Fail(FF).
TR		TR-R	STATE REQ (O/O COND) STACK TEST/NOT OBSVD BUT REVWD	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	L5-R	L5-R	NOV ISSUED BY EPA	
6A	BA-R	BA-R	EPA NOTICE OF VIOLATION	
6A	NA-R	NA-R	EPA NOTICE OF NON-COMPLIANCE	
7C		AB-R	STTE NOTICE OF VIOLATION	
7C		AL-R	STATE LETTER OF DEFICIENCY	
7C		L1-R	NOV ISSUED BY STATE	
7C		AN-R	STATE NOTICE OF NON-COMPLIANCE	
7C		28-R	STATEMENT OF DEFICIENT PRACTICES	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	32-R	32-R	EPA 113A SIP ORDER (ICO)	PAM1
8A	42-R	42-R	EPA NON-SIP ORDER	PAM1
8A	91-R	91-R	EPA ABATEMENT ORDER ISSUED	PAM1
7F	Y9-R		EPA ADMINISTRATIVE PENALTY ORDER 113(D)	PAM1
C2	SA-R		EPA CONSENT AGREEMENT FINAL ORDER	PAM1
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
6B	RA-R	RA-R	EPA CONSENT DECREE	PAM1
6B	92-R	92-R	EPA FEDERAL COURT DECREE	PAM1

**STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS**

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8C		19-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		23-R	STATE 113A ORDER	PAM1(Total Assessed)
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		56-R	STATE CONSENT AGREEMENT ISSUED	PAM1(Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)

**CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
4B	DA-R	DA-R	EPA CIVIL ACTION	PAM1
4B	99-R	99-R	CIVIL ACTION REFERRED TO EPA HEADQUARTERS	PAM1
1E		G1-R	REFER TO STATE ATTORNEY GENERAL	PAM1
9C		AD-R	STATE CIVIL ACTION	Use appropriate admin order or Consent Decree
9C		L2-R	CIVIL ACTION BY STATE	Use appropriate admin order or Consent Decree

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2Z	J1-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		W1-R	STATE DAY ZERO	PLC1, Lead Agency

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
8A	91-R	91-R	EPA ABATEMENT ORDER ISSUED	PAM1
8A	42-R	42-R	EPA NON-SIP ORDER	PAM1
8A	32-R	32-R	EPA 113A SIP ORDER (ICO)	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
7F	Y9-R		EPA ADMINISTRATIVE PENALTY ORDER 113(D)	PAM1
2M	V7-R		PROP SIP OR FIP REVISION WILL LEAD TO COMPLIANCE	
6B	RA-R	RA-R	EPA CONSENT DECREE	PAM1
6B	92-R	92-R	EPA FEDERAL COURT DECREE	PAM1
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
8C	X1-R		STATE ORDER ISSUED	PAM1(Total Assessed)
8C		19-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		23-R	STATE 113A ORDER	PAM1(Total Assessed)
8C		56-R	STATE CONSENT AGREEMENT ISSUED	PAM1(Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
VR	VA-R	VA-R	VIOLATION ADDRESSED	
DY	V3-R	V3-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	V4-R	V4-R	SV DELETED	

**TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ER	ER-R		COMPLIANCE CERTIFICATION EPA REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviation, y-Yes or N-No
SR		SR-R	COMPLIANCE CERTIFICATION STATE REVIEW	Results Code: MV-in Violation, MC-in Compliance, MU-Unknown
CC	CC-R	CC-R	TITLE V ANNUAL COMPL CERT DUE/RECEIVED BY EPA	DTS1=Due Date. DTA1=Received Date.



## Title V Permit Program Data Elements and Events

<u>AFS Acronym</u>	<u>Region Use</u>	<u>State Use</u>	<u>Description-Data</u>	<u>Additional</u>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolcy.pdf> for more information on the reporting of Title V data.

## **Data Elements for Subparts**

<b>AFS</b>	<b>Region</b>	<b>State Use</b>	<b>Description-Data Elements</b>	<b>Additional</b>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 2 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	FE-R		EPA CONDUCTED FCE/ON-SITE	
FZ	F1-R		EPA CONDUCTED FCE/OFF-SITE	
FS		FS-R	STATE CONDUCTED FCE/ON-SITE	
FF		FF-R	STATE CONDUCTED FCE/OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	IE-R		EPA INVESTIGATION STARTED	
EC	CE-R		EPA INVESTIGATION CONDUCTED	
SI		SI-R	STATE INVESTIGATION STARTED	
SC		CS-R	STATE INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	MM-R	MM-R	MULTIMEDIA INSPECTION (EPA) - LEVEL 2 OR GREATER	
ES	L4-R	L4-R	EPA CASE DEVELOPMENT INSPECTION - LEVEL 2 OR GRTR	
ES	58-R	58-R	EPA PRIMACY INSPECTION - LEVEL 2 OR GREATER	
ES	50-R	50-R	EPA SOURCE INSPECTION - LEVEL 2 OR GREATER	
ES	ES-R	ES-R	EPA PCE/ON-SITE	
ES	53-R	53-R	EPA SOURCE TEST	
PS		S9-R	STATE SOURCE TEST	
PS		PS-R	STATE PCE/ON-SITE	
PS		S8-R	INSPECTION BY STATE - LEVEL 2 OR GREATER	
EX	EX-R		EPA PCE/OFF-SITE	
PX	PX-R	PX-R	STATE PCE/OFF-SITE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
TO	TO-R		EPA REQ (O/O COND) STACK TEST/OBSERVED & REVIEWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	TE-R		EPA REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT
3A		3A-R	STATE REQ (O/O COND) STACK TEST/OBSV & REVIEWED	Results Code:Pass(PP) or Fail(FF).
TR		TR-R	STATE REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	55-R	55-R	EPA NOTICE OF VIOLATION	
6A	6A-R	6A-R	EPA NOV ISSUED	
7C		L1-R	NOV ISSUED BY STATE	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
8A	56-R	56-R	EPA ABATEMENT ORDER ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	8A-R	8A-R	113A ORDER ISSUED	PAM1
7F	7F-R		113D APO COMPLAINT FILED	PAM1
C2	C2-R		113(D) APO RECALCULATED	PAM1
C3	C3-R		113(D) ADMINISTRATIVE PENALTY COLLECTED	PAM1
6B	6B-R	6B-R	EPA CONSENT DECREE	PAM1
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
7E	P1-R		167 STOP CONSTRUCTION ORDER	PAM1
7E	7E-R		EPA SECTION 167 ORDER ISSUED	PAM1

### STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8C		8C-R	STATE ADMINISTRATIVE ORDER	PAM1(Total Assessed)
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		4L-R	NOTICE OF HEARING SENT TO SOURCE OWNER	PAM1(Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)
2D		2D-R	STATE CONSENT DECREE	PAM1 (Total Assessed)

## **CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
5B	5B-R		EPA CRIMINAL REFERRAL	PAM1
5B	L7-R		EPA CRIMINAL ACTION	PAM1
4B	57-R	57-R	EPA CIVIL ACTION	PAM1
4B	64-R	64-R	REFERRED TO DEPARTMENT OF JUSTICE BY EPA	PAM1
4B	4B-R	4B-R	EPA CIVIL ACTION	PAM1
1E		S6-R	REFER TO STATE ATTORNEY GENERAL	PAM1
1E		1E-R	CIVIL REFERRAL TO STATE AG	PAM1
9C		L2-R	CIVIL ACTION BY STATE	Use appropriate admin order or Consent Decree
9C		AG-R	REFER TO NEW YORK STATE ATTORNEY GENERAL	Use appropriate admin order or Consent Decree
9C		9C-R	STATE CIVIL ACTION	Use appropriate admin order or Consent Decree
1D		1D-R	CRIMINAL REFERRAL	PAM1
1D		L3-R	STATE CRIMINAL ACTION	PAM1

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
2Z	FZ-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		SZ-R	STATE DAY ZERO	PLC1, Lead Agency

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8A	56-R	56-R	EPA ABATEMENT ORDER ISSUED	PAM1
8A	8A-R	8A-R	113A ORDER ISSUED	PAM1
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
7F	7F-R		113D APO COMPLAINT FILED	PAM1
2M	2M-R		PROP SIP/FIP REVISION WILL LEAD TO COMPLIANCE	
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
6B	6B-R	6B-R	EPA CONSENT DECREE	PAM1
8C	X1-R		STATE ORDER ISSUED	PAM1(Total Assessed)
8C	8C-R		STATE ADMINISTRATIVE ORDER	PAM1(Total Assessed)
8C		4L-R	NOTICE OF HEARING SENT TO SOURCE OWNER	PAM1(Total Assessed)
2D		2D-R	STATE CONSENT DECREE	PAM1 (Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)
2K		2K-R	SOUR RET TO COMPL BY STTE W/NO FURTHER ACT REQ	
9C		AG-R	REFER TO NEW YORK STATE ATTORNEY	
7E		P1-R	167 STOP CONSTRUCTION ORDER	
7E		7E-R	EPA SECTION 167 ORDER ISSUED	
7A		7A-R	EPA NOTICE OF NONCOMPLIANCE (SECTION120)	
OT		OT-R	OTHER ADDRESSING ACTION	

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
VR	VR-R	VR-R	VIOLATION RESOLVED	
DY	DY-R	DY-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	RV-R	RV-R	SV DELETED	

## **TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
ER	ER-R		TITLE V COMPLIANCE CERTIFICATION REVIEW BY EPA	Results Code: MV-in Violation, MC-in Compliance, MU-Unknown. RDE8=Deviation, Y-Yes or N-No.
SR		SR-R	COMPLIANCE CERTIFICATION REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown
CC	CC-R	CC-R	TITLE V COMPLIANCE CERT. DUE/RECEIVED BY EPA	DTS1=Due Date. DTA1=Received Date.

## Title V Permit Program Data Elements and Events

<u>AFS Acronym</u>	<u>Region Use</u>	<u>State Use</u>	<u>Description-Data</u>	<u>Additional</u>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.

## Data Elements for Subparts

<u>AFS Acronym</u>	<u>Region</u>	<u>State Use</u>	<u>Description-Data Elements</u>	<u>Additional</u>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 3 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	FE-R		EPA CONDUCTED FCE/ON-SITE	
FE	10-R		EPA CONDUCTED FCE/ON-SITE	
FZ	FZ-R		EPA CONDUCTED FCE/OFF-SITE	
FZ	11-R		EPA CONDUCTED FCE/OFF-SITE	
FS		82-R	STATE INSPECTION STAGE 2 VAPOR RECOVERY: LEVEL 2 +	
FS		81-R	STATE INSPECTION STAGE 1 VAPORON 120) RECOVERY: LEVEL	
FS		08-R	STATE CONDUCTED FCE/ON-SITE	
FS		SI-R	STATE MULTIMEDIA INSPECTION - LEVEL 2 OR GREATER	
FS		FS-R	STATE CONDUCTED FCE/ON-SITE	
FS		PO-R	P/O INSPECTION - LEVEL 2 OR GREATER	
FF		FF-R	STATE CONDUCTED FCE/ OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	RI-R		REGION III INVESTIGATION	
EC	3R-R		EPA INVESTIGATION COMPLETED	
SI		IS-R	STATE INVESTIGATION STARTED	
SC		IC-R	STATE INVESTIGATION COMPLETED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	ES-R	ES-R	EPA CONDUCTED PCE/ ON-SITE	
PS		PS-R	STATE CONDUCTED PCE/ ON-SITE	
EX	EP-R		EPA CONDUCTED PCE/ OFF-SITE	
PX	PX-R	PX-R	STATE CONDUCTED PCE/ OFF-SITE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2A	12-R		EPA STACK TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	13-R		EPA OBSERVED STACK TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	14-R		EPA STACK TEST REVIEW - LEVEL 2 OR GREATER	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		16-R	STATE STACK TEST	Results Code:Pass(PP) or Fail(FF).
3A		73-R	NEW SOURCE PERFORMANCE TEST	Results Code:Pass(PP) or Fail(FF).
3A		18-R	STATE OBSERVED STACK TEST	Results Code:Pass(PP) or Fail(FF).
TR		15-R	SOURCE OPERATOR STACK TEST	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	23-R	23-R	EPA NOV ISSUED	
7C		49-R	STATE NOTICE OF VIOLATION ISSUED	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	35-R	35-R	EPA 113(A) (5) STOP CONSTRUCTION ORDER	PAM1
8A	33-R	33-R	EPA 113(A) (1) 30-DAY SIP ORDER	PAM1
8A	34-R	34-R	EPA 113(A) (3) NON-SIP ORDER	PAM1
7F	7F-R		113D APO COMPLAINT FILED.	PAM1
7F	MA-R		MULTIMEDIA ADMINISTRATIVE PENALTY ORDER	PAM1
C2	AO-R		113(D) APO RECALCULATED	PAM1
C3	AC-R		ADMINISTRATIVE CIVIL PENALTY COLLECTED	PAM1
6B	31-R	31-R	EPA COURT CONSENT DECREE	PAM1
6B	32-R	32-R	FEDERAL COURT ORDER	PAM1
6B	MD-R	MD-R	MULTIAMEDIA CONSENT DECREE	PAM1
7E	SC-R		SECTION 167 PSD STOP CONSTRUCTION ORDER	PAM1

### STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8C		48-R	STATE ADMINISTRATIVE CONSENT AGREEMENT	PAM1(Total Assessed)
8C		47-R	STATE ADMINISTRATIVE UNILATERAL ORDER	PAM1(Total Assessed)
2D		45-R	STATE COURT ORDER ISSUED	PAM1 (Total Assessed)
2D		46-R	STATE COURT CONSENT DECREE SIGNED	PAM1 (Total Assessed)

**CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
5B	30-R		EPA CRIMINAL ACTION FILED	PAM1
4B	28-R	28-R	REFER TO JUSTICE	PAM1
4B	27-R	27-R	REFERRAL TO DSSE	PAM1
4B	MR-R	MR-R	MULTIMEDIA REFERRAL	PAM1
4B	29-R	29-R	EPA CIVIL ACTION FILED	PAM1
1E		CR-R	STATE CIVIL REFERRAL	PAM1
1E		SM-R	STATE MULTIMEDIA CIVIL REFERRAL	PAM1
9C		43-R	STATE CIVIL ACTION FILED	Use appropriate admin order or Consent Decree
1D		44-R	STATE CRIMINAL ACTION FILED	PAM1

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
2Z	DZ-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		2E-R	STATE DAY ZERO	PLC1, Lead Agency

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
4B	29-R		EPA CIVIL ACTION FILED	PAM1
5B	30-R		EPA CRIMINAL ACTION FILED	PAM1
8A	33-R	33-R	EPA 113(A) (1) 30-DAY SIP ORDER	PAM1
8A	35-R	35-R	EPA 113(A) (5) STOP CONSTRUCTION ORDER	PAM1
8A	34-R	34-R	EPA 113(A) (3) NON-SIP ORDER	PAM1
7F	7F-R		113D APO COMPLAINT FILED.	PAM1
7F	MA-R		MULTIMEDIA ADMINISTRATIVE PENALTY ORDER	PAM1
2M	2M-R		PROP SIP OR FIP REVISION WILL LEAD TO COMPLIANCE	
6B	MD-R	MD-R	MULTIMEDIA CONSENT DECREE	PAM1
6B	31-R	31-R	EPA COURT CONSENT DECREE	PAM1
6B	32-R	32-R	FEDERAL COURT ORDER	PAM1
8C	48-R		STATE ADMINISTRATIVE CONSENT AGREEMENT	PAM1(Total Assessed)
8C		47-R	STATE ADMINISTRATIVE UNILATERAL ORDER	PAM1(Total Assessed)
1D		44-R	STATE CRIMINAL ACTION FILED	PAM1
2D		46-R	STATE COURT CONSENT DECREE SIGNED	PAM1 (Total Assessed)
2D		45-R	STATE COURT ORDER ISSUED	PAM1 (Total Assessed)
OT		OT-R	OTHER ADDRESSING ACTION	
7E		SC-R	SECTION 167 PSD STOP CONSTRUCTION ORDER	
2L		07-R	SIP REVISION PENDING	
9C		43-R	STATE CIVIL ACTION FILED	
7A		80-R	SECTION 120 NOTICE OF NONCOMPLIANCE	

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
VR	VR-R	VR-R	VIOLATION RESOLVED	
DY	DY-R	DY-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	RV-R	RV-R	SV DELETED	

**TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
ER	ER-R		COMPLIANCE CERTIFICATION EPA REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviatic Y-Yes or N-No.
SR		SN-R	COMPLIANCE CERTIFICATION STATE REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
CC	CC-R	CC-R	COMPLIANCE CERTIFICATIONS DUE/RECEIVED BY EPA	DTS1=Due Date. DTA1=Received Date.

## **Title V Permit Program Data Elements and Events**

<b><u>AFS Acronym</u></b>	<b><u>Region Use</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data</u></b>	<b><u>Additional</u></b>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.

## **Data Elements for Subparts**

<b><u>AFS Acronym</u></b>	<b><u>Region</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data Elements</u></b>	<b><u>Additional</u></b>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 4 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	FE-R		EPA CONDUCTED FCE/ ON-SITE	
FZ	FZ-R		EPA CONDUCTED FCE/ OFF-SITE	
FS		FS-R	STATE CONDUCTED FCE/ ON-SITE	
FF		FF-R	STATE CONDUCTED FCE/ OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	E0-R		EPA INVESTIGATION STARTED	
EC	EC-R		EPA INVESTIGATION CONDUCTED	
SI		SI-R	STATE INVESTIGATION STARTED	
SC		SC-R	STATE INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	ES-R	ES-R	EPA CONDUCTED PCE/ ON-SITE	
PS		PS-R	STATE CONDUCTED PCE/ ON-SITE	
EX	EX-R		EPA CONDUCTED PCE/ OFF-SITE	
PX	PX-R	PX-R	STATE CONDUCTED PCE/ OFF-SITE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2A	BA-R		EPA CONDUCTED STACK TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	TO-R		EPA REQ (O/O COND) STACK TEST/ OBSE & REVIEWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	TE-R		EPA RED (O/O COND) STACK TEST/NOT O BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		24-R	STATE CONDUCTED STACK TEST	Results Code:Pass(PP) or Fail(FF).
3A		B7-R	SOURCE TEST OBSERVED	Results Code:Pass(PP) or Fail(FF).
3A		7A-R	NSPS PERFORMANCE TEST	Results Code:Pass(PP) or Fail(FF).
3A		V4-R	NESHAPS SOURCE TEST	Results Code:Pass(PP) or Fail(FF).
3A		F2-R	OPTIMUM PERFORMANCE TEST	Results Code:Pass(PP) or Fail(FF).
3A		23-R	STATE REQ (O/O COND) STACK TEST/OBS REVIEWED	Results Code:Pass(PP) or Fail(FF).
TR		TR-R	STATE REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	P8-R	P8-R	EPA NSR NOTICE OF VIOLATION	
6A	L5-R	L5-R	NOV ISSUED BY EPA	
6A	J9-R	J9-R	EPA PSD NOTICE OF VIOLATION	
6A	A8-R	A8-R	NOTICE OF VIOLATION	
7C		56-R	STATE NOTICE OF VIOLATION	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	V7-R	V7-R	NESHAPS ORDER BY EPA	PAM1
8A	P9-R	P9-R	EPA NSR ORDER	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER IS	PAM1
8A	K1-R	K1-R	EPA PSD ORDER	PAM1
8A	4B-R	4B-R	NSPS ORDER BY EPA	PAM1
8A	B1-R	B1-R	EPA 113(A) ADMINISTRATIVE ORDER ISS	PAM1
8A	Y3-R	Y3-R	EPA 113A PROHIBIT CONSTRUCTION ORDE ISSUED	PAM1
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
7F	AU-R		113(D) APO COMPLAINT FILED	PAM1
7F	AB-R		113(D) ADMINISTRATIVE COMPLIANT FIL	PAM1
C2	AC-R		113(D) APO RECALCULATED	PAM1
C3	AH-R		113(D) ADMINISTRATIVE PENALTY COLLE	PAM1
6B	CB-R	CB-R	FEDERAL CONSENT AGREEMENT SIGNED	PAM1
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
7E	K8-R		EPA 167 ORDER ISSUED	PAM1



**STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS**

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		40-R	STATE CONSENT ORDER	PAM1(Total Assessed)
2D		31-R	CONSENT ORDER ISSUED	PAM1 (Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)

**CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
5B	CA-R		EPA CRIMINAL ACTION	PAM1
4B	B6-R	B6-R	REFERRAL TO DOJ	PAM1
4B	L6-R	L6-R	EPA NSR/PSD CIVIL ACTION	PAM1
4B	K2-R	K2-R	EPA PSD CIVIL ACTION	PAM1
4B	5B-R	5B-R	EPA NSPS CIVIL ACTION	PAM1
4B	V8-R	V8-R	EPA NESHAPS CIVIL ACTION	PAM1
4B	C1-R	C1-R	EPA CIVIL ACTION	PAM1
1E		60-R	STATE REFERRAL TO ATTORNEY GENERAL	PAM1
9C		64-R	STATE CIVIL SUIT FILED BY ATTORNEY GENERAL	Use appropriate admin order or Consent Decree
1D		63-R	STATE CRIMINAL SUIT FILED BY ATTORNEY GENERAL	PAM1
1D		L3-R	STATE CRIMINAL ACTION	PAM1

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2Z	01-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		04-R	STATE DAY ZERO	PLC1, Lead Agency

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	P9-R	P9-R	EPA NSR ORDER	PAM1
8A	V7-R	V7-R	NESHAPS ORDER BY EPA	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER IS	PAM1
8A	Y3-R	Y3-R	EPA 113A PROHIBIT CONSTRUCTION ORDER ISSUED	PAM1
8A	4B-R	4B-R	NSPS ORDER BY EPA	PAM1
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
8A	B1-R	B1-R	EPA 113(A) ADMINISTRATIVE ORDER ISS	PAM1
8A	K1-R	K1-R	EPA PSD ORDER	PAM1
7F	AB-R		113(D) ADMINISTRATIVE COMPLIANT FIL	PAM1
7F	AU-R		113(D) APO COMPLAINT FILED	PAM1
2M	AX-R		PROPOSED SIP OR FIP REV WILL LEAD TO COMPLIANCE	
6B	CB-R	CB-R	FEDERAL CONSENT AGREEMENT SIGNED	PAM1
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		40-R	STATE CONSENT ORDER	PAM1(Total Assessed)
1D		63-R	STATE CRIMINAL SUIT FILED BY ATTORNEY GENERAL	PAM1
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)
2D		31-R	CONSENT ORDER ISSUED	PAM1 (Total Assessed)
2L		AV-R	PROPOSED SIP REVISION WILL LEAD TO COMPLIANCE	
2G		CD-R	CONTRACTOR DE-LISTING	
2H		CE-R	AHEARA CERTIFICATION	
2I		CF-R	AHEARA DE-CERTIFICATION	
7A		D5-R	NOTICE (OF NON COMPLIANCE)	
7E		K8-R	EPA 167 ORDER ISSUED	
OT		OT-R	OTHER ADDRESSING ACTION	
7A		Z2-R	NOTICE OF NON-COMPLIANCE	
9C		64-R	STATE CIVIL SUIT FILED BY ATTORNEY	

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
VR	AZ-R	AZ-R	HPV RESOLVED - SOURCE RETURNED TO COMPLIANCE	
VR	AS-R	AS-R	VIOLATION RESOLVED	
DY	A0-R	A0-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	BB-R	BB-R	SV DELETED	

## **TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
ER	ER-R		TITLE V COMPLIANCE CERTIFICATION RE BY EPA	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviatic Y-Yes or N-No.
SR		SR-R	TITLE V COMPLIANCE CERTIFICATION RE BY STATE	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
CC	CC-R	CC-R	TITLE V COMPLIANCE CERTIFICATION DUE/RECVD BY EPA	DTS1=Due Date. DTA1=Received Date.

## **Title V Permit Program Data Elements and Events**

<b><u>AFS Acronym</u></b>	<b><u>Region Use</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data</u></b>	<b><u>Additional</u></b>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.

## **Data Elements for Subparts**

<b><u>AFS Acronym</u></b>	<b><u>Region</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data Elements</u></b>	<b><u>Additional</u></b>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## SUGGESTED ACTION TYPES FOR AFS REPORTING—REGION 5

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
FE	L6-R		EPA CONDUCTED FCE/ON-SITE	
FZ	L7-R		EPA CONDUCTED FCE/OFF-SITE	
FS		81-R	STATE CONDUCTED FCE/ON-SITE	
FF		82-R	STATE CONDUCTED FCE/OFF-SITE	

### INVESTIGATIONS

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
EI	53-R		EPA INVESTIGATION STARTED	
EC	54-R		EPA INVESTIGATION CONDUCTED	
SI		41-R	STATE INVESTIGATION STARTED	
SC		42-R	STATE INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting PCEs are currently an option.)

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
ES	L8-R		EPA PCE/ON-SITE	
PS		83-R	STATE PCE/ON-SITE	
EX	L5-R		EPA PCE/OFF-SITE	
EX	51-R		114 LETTER SENT	
PX		80-R	STATE PCE/OFF-SITE	

### STACK TESTS

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
2A	18-R		EPA CONDUCTED STACK TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	16-R		EPA REQ(O/O COND) STACK TEST/OBSERVED & REVIEWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	17-R		EPA REQ(O/O COND) STACK TEST/NOT OBSVD BUT REVWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		36-R	SOURCE TEST CONDUCTED	Results Code:Pass(PP) or Fail(FF). Action PLLT
3A		15-R	PERFORMANCE TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
3A		M3-R	EER SUBMISSION	Results Code:Pass(PP) or Fail(FF). Action PLLT
3A		37-R	SOURCE TEST OBSERVED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TR		35-R	STATE REQ(O/O COND) STACK TEST/NOT OBSVD BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT

### NOTICE OF VIOLATIONS

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
6A	A1-R		FINDING OF VIOLATION ISSUED	
6A	63-R		NOTICE OF VIOLATION ISSUED	
6A	SC-R		EPA SHOW CAUSE LETTER	
7C		L1-R	NOV ISSUED BY STATE	
7C		D4-R	STATE WARNING LETTER	
7C		D5-R	LOCAL WARNING LETTER ISSUED	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
8A	98-R		EPA 113(A)ORDER ISSUED	PAM1
8A	E1-R		EPA 113(A)(5)STOP CONSTRUCTION ORDER ISSUED	PAM1
8A	E7-R		FEDERAL FACILITY COMPLIANCE AGREEMENT	PAM1
8A	E8-R		EPA UNILATERAL ADMINISTRATIVE ORDER	PAM1
7F	U1-R		113(D) ADMINISTRATIVE CIVIL COMPLAINT FILED	PAM1
C2	U2-R		113(D) APO RECALCULATED	PAM1
C3	ZB-R		113(D) ADMINISTRATIVE PENALTY COLLECTED	PAM1
6B	K8-R		DECREE ENTERED	PAM1
6B	D1-R		FEDERAL COURT ORDER ISSUED	PAM1
7E	L3-R		167 STOP CONSTRUCTION ORDER	PAM1

### STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
8C		08-R	STATE COMBINED (F/NF) APO ISSUED	PAM1(Total Assessed)
8C		CA-R	COMPLIANCE COMMITMENT AGREEMENT (CCA) ACCEPTED	PAM1(Total Assessed)
8C		07-R	STATE NONFORGIVABLE APO ISSUED	PAM1(Total Assessed)
8C		E9-R	STATE UNILATERAL ADMINISTRATIVE ORDER	PAM1(Total Assessed)
8C		66-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		06-R	STATE FORGIVABLE APO ISSUED	PAM1(Total Assessed)
8C		68-R	LOCAL FINDINGS AND ORDERS ISSUED	PAM1(Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)

## SUGGESTED ACTION TYPES FOR AFS REPORTING—REGION 5

### CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
5B	69-R		EPA CRIMINAL ACTION	PAM1
4B	27-R		REF DOJ	PAM1
4B	26-R		REFERRAL TO DSSE(CIVIL)	PAM1
1E		X3-R	STATE REFERRAL (CIVIL)	PAM1
9C		X1-R	FILE BY STATE AG	Use appropriate admin order or Consent Decree
1D		XA-R	STATE REFERRAL (CRIMINAL)	PAM1

### HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
2Z	23-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		38-R	STATE DAY ZERO	PLC1, Lead Agency
2B	2B-R	2B-R	DAY ZERO – SHARED ENFORCEMENT LEAD	
2U	2U-R	2U-R	DAY ZERO – ENFORCEMENT LEAD IS UNASSIGNED	

### HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
8A	E8-R	E8-R	EPA UNILATERAL ADMINISTRATIVE ORDER	PAM1
8A	E7-R	E7-R	FEDERAL FACILITY COMPLIANCE AGREEMENT	PAM1
8A	98-R	98-R	EPA 113(A) ORDER ISSUED	PAM1
8A	E1-R	E1-R	EPA 113(A)(5) STOP CONSTRUCTION ORDER ISSUED	PAM1
7F	U1-R		113(D) ADMINISTRATIVE CIVIL COMPLAINT FILED	PAM1
2M	G4-R	G4-R	PROPOSED PERMIT/SIP/FIP REV WILL LEAD TO COMPLIANCE	
6B	D1-R		FEDERAL COURT ORDER ISSUED	PAM1
6B	K8-R		DECREE ENTERED	PAM1
8C		CA-R	COMPLIANCE COMMITMENT AGREEMENT (CCA) ACCEPTED	PAM1 (Total Assessed)
8C		06-R	STATE FORGIVABLE APO ISSUED	PAM1 (Total Assessed)
8C		07-R	STATE NONFORGIVABLE APO ISSUED	PAM1 (Total Assessed)
8C		08-R	STATE COMBINED (F/NF) APO ISSUED	PAM1 (Total Assessed)
8C		68-R	LOCAL FINDINGS AND ORDERS ISSUED	PAM1 (Total Assessed)
8C		66-R	STATE ORDER ISSUED	PAM1 (Total Assessed)
8C		E9-R	STATE UNILATERAL ADMINISTRATIVE ORDER	PAM1 (Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)
OT	OT-R	OT-R	OTHER ADDRESSING ACTION	
7E	L3-R	L3-R	167 STOP CONSTRUCTION ORDER	
9C		X1-R	FILE BY STATE AG	
7A	Z1-R	Z1-R	NOTICE OF NON-COMPLIANCE	

### HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
VR	44-R	44-R	VIOLATION RESOLVED	
2K		A4-R	SOURCE RETURNED TO COMPL BY THE STATE W/NO ACT RE	
7G	A3-R		SOURCE RETURNED TO COMPL BY THE EPA W/NO ACT RE	
C7	K9-R	K9-R	CLOSEOUT MEMO ISSUED	
WD	WD-R	WD-R	WITHDRAWN	
C3	ZB-R	ZB-R	113(D) ADMINISTRATIVE PENALTY COLLECTED	

### TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)

<u>Nat</u>	<u>Region</u>	<u>State</u>	<u>Description</u>	<u>Additional Requirements</u>
ER	ER-R		COMPLIANCE CERTIFICATION EPA REVIEW	Results Code: MV-in violation, MC-in violation, MU-Unknown. RDE8=Deviation, y-Yes or N-No.
SR		SR-R	COMPLIANCE CERTIFICATION STATE REVIEW	Results Code: MV-in violation, MC-in violation, MU-Unknown
CC	CC-R	CC-R	TITLE V COMPLIANCE CERT DUE/RECEIVED BY EPA	DTS1=Due Date. DTA1=Received Date.
CB		CB-R	TITLE V COMPLIANCE CERT DUE/RECEIVED BY ST/LOCAL	DTS1=Due Date. DTA1=Received Date.

## SUGGESTED ACTION TYPES FOR AFS REPORTING—REGION 5

### Title V Permit Program Data Elements and Events

<u>AFS Acronym</u>	<u>Region Use</u>	<u>State Use</u>	<u>Description-Data</u>	<u>Additional</u>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

### Data Elements for Subparts

<u>AFS</u>	<u>Region</u>	<u>State Use</u>	<u>Description-Data Elements</u>	<u>Additional</u>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 6 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	II-R		EPA CFC IMPORTER INSPECTION - LEVEL 2 OR GREATER	
FE	MM-R		EPA MULTI-MEDIA INSPECTION - LEVEL 2 OR GREATER	
FE	PI-R		EPA CFC PRODUCER INSPECTION - LEVEL 2 OR GREATER	
FE	R8-R		EPA OVERVIEW INSPECTION - LEVEL 2 OR GREATER	
FE	L8-R		PRIMACY INSPECTION - LEVEL 2 OR GREATER	
FE	EI-R		EPA CFC EXPORTER INSPECTION - LEVEL 2 OR GREATER	
FE	UI-R		EPA CFC USER INSPECTION - LEVEL 2 OR GREATER	
FE	FE-R		EPA C ONDUCTED FCE/ ON-SITE	
FZ	FZ-R		EPA CONDUCTED FCE / OFF-SITE	
FS		S8-R	INSPECTION BY STATE - LEVEL 2 OR GREATER	
FS		07-R	STATE INSPECTION - LEVEL 2 OR GREATER	
FS		FS-R	STATE CONDUCTED FCE / ON-SITE	
FS		DH-R	EMISSION INVENTORY AUDIT (PLANT VISIT)	
FF		FF-R	STATE CONDUCTED FCE / OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	E9-R		EPA INVESTIGATION INITIATED	
EC	EC-R		EPA INVESTIGATION CONDUCTED	
SI		SI-R	STATE INVESTIGATION INITIATED	
SC		SE-R	STATE INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	PE-R	PE-R	EPA PCE ON-SITE REVIEW	
PS		43-R	STATE COMPLAINT INSPECTION	
PS		PS-R	STATE PCE ON-SITE REVIEW	
PS		44-R	STATE POINT INSPECTION	
PS		13-R	STATE OPACITY READING	
EX	R5-R		PUBLIC NOTICE BY EPA	
EX	59-R		EPA CONFERENCE WITH FACILITY	
EX	51-R		EPA 114 LETTER	
EX	R6-R		PUBLIC HEARING BY EPA	
EX	MB-R		PART 63 NOTIFICATION OF COMPLIANCE STATUS	
EX	EX-R		EPA PCE/OFF-SITE	
EX	MJ-R		PART 63 APPLICABILITY DETERMINATION	
EX	MG-R		PART 63 GRANTED COMPLIANCE DATE	
PX	S5-R	S5-R	PUBLIC NOTICE BY STATE	
PX	S6-R	S6-R	PUBLIC HEARING BY STATE	
PX	DJ-R	DJ-R	EMISSION INVENTORY SUBMITTED	
PX	K2-R	K2-R	REPORT REVIEWED	
PX	P8-R	P8-R	HEARING	
PX	PX-R	PX-R	STATE PCE OFF-SITE REVIEW	
PX	15-R	15-R	STATE CONFERENCE WITH FACILITY	
PX	M8-R	M8-R	CEM WAIVER/ALTERNATE METHOD GRANTED	
PX	M7-R	M7-R	CEM AUDIT	
PX	M6-R	M6-R	REVIEW CEM DATA	
PX	42-R	42-R	STATE 114 LETTER	
PX	M2-R	M2-R	EXECUTION AND SUBMISSION OF CM SPEC TEST RESULT	
PX	M5-R	M5-R	REVIEW OF CEM TEST RESULTS	

## **STACK TESTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
2A	R9-R		SOURCE TEST CONDUCTED BY EPA	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	53-R		EPA REQ (O/O COND) STACK TEST/OBSV & REVIEWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	TE-R		EPA REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		S9-R	PERFORMANCE TEST CONDUCTED BY STATE	Results Code:Pass(PP) or Fail(FF).
3A		09-R	STATE REQ (O/O COND) STACK TEST OBSV & REVIEWED	Results Code:Pass(PP) or Fail(FF).
3A		W4-R	STACK TEST BY COMPANY	Results Code:Pass(PP) or Fail(FF).
TR		39-R	STATE REQ (O/O COND) STACK TEST NOT OBSV BUT REVED	Results Code:Pass(PP) or Fail(FF).

## **NOTICE OF VIOLATIONS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
6A	L5-R		NOV ISSUED BY EPA	
7C		28-R	STATE NOTICE OF VIOLATION	
7C		40-R	LETTER OF VIOLATION BY STATE	
7C		L1-R	NOV ISSUED BY STATE	

## **FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8A	77-R	77-R	NESHAPS ORDER BY EPA	PAM1
8A	Y3-R	Y3-R	EPA 113A PROHIBIT CONSTRUCTION ORDER ISSUED	PAM1
8A	69-R	69-R	NSPS ORDER BY EPA	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	K4-R	K4-R	EPA ADMINISTRATIVE ORDER	PAM1
8A	56-R	56-R	113A ORDER ISSUED	PAM1
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
7F	AA-R		113(D) APO COMPLAINT FILED	PAM1
C2	P1-R		113(D) APO RECALCULATED	PAM1
C3	P6-R		113(D) ADMINISTRATIVE PENALTY COLLECTED	PAM1
6B	X3-R	X3-R	FEDERAL CONSENT DECREE ISSUED	PAM1
7E	N1-R		EPA SECTION 167 ORDER ISSUED	PAM1

## **STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS**

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8C		CN-R	COMPLIANCE ORDER AND NOTICE OF POTENTIAL PENALTY	PAM1(Total Assessed)
8C		29-R	STATE ADMINISTRATIVE ORDER	PAM1(Total Assessed)
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		Z3-R	STATE ADMINISTRATIVE ORDER (W/ PENALTY)	PAM1(Total Assessed)
8C		18-R	NSPS ORDER BY STATE	PAM1(Total Assessed)
8C		23-R	NESHAPS ORDER BY STATE	PAM1(Total Assessed)
2D		X2-R	STATE CONSENT DECREE ISSUED	PAM1 (Total Assessed)

## **CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
5B	L7-R		EPA CRIMINAL ACTION	PAM1
5B	17-R		EPA CRIMINAL REFERRAL	PAM1
4B	K3-R	K3-R	EPA CIVIL ACTION	PAM1
4B	K7-R	K7-R	PRE-CIVIL ACTION REQUEST	PAM1
4B	57-R	57-R	EPA SIP CIVIL ACTION	PAM1
1E		N2-R	CIVIL REFERRAL TO STATE AG	PAM1
9C		19-R	NSPS CIVIL ACTION BY STATE	Use appropriate admin order or Consent Decree
9C		11-R	STATE CIVIL ACTION	Use appropriate admin order or Consent Decree
9C		L2-R	STATE CIVIL ACTION	Use appropriate admin order or Consent Decree
9C		24-R	NESHAPS CIVIL ACTION BY STATE	Use appropriate admin order or Consent Decree
1D		L3-R	CRIMINAL REFERRAL	PAM1

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
2Z	N4-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		N6-R	STATE DAY ZERO	PLC1, Lead Agency

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8A	56-R	56-R	113A ORDER ISSUED	PAM1
8A	Y3-R	Y3-R	EPA 113A PROHIBIT CONSTRUCTION ORDER ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
8A	69-R	69-R	NSPS ORDER BY EPA	PAM1
8A	77-R	77-R	NESHAPS ORDER BY EPA	PAM1
8A	K4-R	K4-R	EPA ADMINISTRATIVE ORDER	PAM1
7F	AA-R		113(D) APO COMPLAINT FILED	PAM1
2M	V4-R		PROP SIP OR FIP REVISION WILL LEAD TO COMPLIANCE	
2M	V6-R		PROP SIP OR FIP REVISION WILL LEAD TO COMPLIANCE	
6B	X3-R	X3-R	FEDERAL CONSENT DECREE ISSUED	PAM1
8C		Z3-R	STATE ADMINISTRATIVE ORDER (W/ PENALTY)	PAM1(Total Assessed)
8C		CN-R	COMPLIANCE ORDER AND NOTICE OF POTENTIAL PENALTY	PAM1(Total Assessed)
8C		29-R	STATE ADMINSTRATIVE ORDER	PAM1(Total Assessed)
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		23-R	NESHAPS ORDER BY STATE	PAM1(Total Assessed)
8C		18-R	NSPS ORDER BY STATE	PAM1(Total Assessed)
2D		X2-R	STATE CONSENT DECREE ISSUED	PAM1 (Total Assessed)
2G		CD-R	CONTRACTOR DE-LISTING	
2H		CE-R	AHEARA CERTIFICATION	
2I		CF-R	AHEARA DE-CERTIFICATION	
7E		N1-R	EPA SECTION 167 ORDER ISSUED	
OT		OT-R	OTHER ADDRESSING ACTION	
7A		Z2-R	NOTICE OF NONCOMPLIANCE (SECTION120)	

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
VR	V2-R	V2-R	VIOLATION RESOLVED	
DY	V9-R	V9-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	VV-R	VV-R	SV DELETED	

## **TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
ER	ER-R		COMPLIANCE CERTIFICATION EPA REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviatic Y-Yes or N-No
SR		SR-R	COMPLIANCE CERTIFICATION STATE REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
CC	CC-R	CC-R	TITLE V ANNUAL COMPLIANCE CERT. DUE/RCVD BY EPA	DTS1=Due Date. DTA1=Received Date.

## **Title V Permit Program Data Elements and Events**

<b><u>AFS Acronym</u></b>	<b><u>Region Use</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data</u></b>	<b><u>Additional</u></b>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.



### **Data Elements for Subparts**

<b><u>AFS Acronym</u></b>	<b><u>Region</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data Elements</u></b>	<b><u>Additional</u></b>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 7 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	AE-R		EPA CONDUCTED FCE/ ON-SITE	
FZ	AZ-R		EPA CONDUCTED FCE/ OFF-SITE	
FS		AS-R	STATE CONDUCTED FCE/ ON-SITE	
FF		AF-R	STATE CONDUCTED FCE/ OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	IE-R		EPA INVESTIGATION STARTED	
EC	II-R		EPA INVESTIGATION CONDUCTED	
SI		IS-R	STATE INVESTIGATION STARTED	
SC		IC-R	STATE INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	AC-R	AC-R	EPA CONDUCTED PCE/ ON-SITE	
PS		AP-R	STATE CONDUCTED PCE/ ON-SITE	
EX	AD-R		EPA CONDUCTED PCE/ OFF-SITE	
PX	AX-R	AX-R	STATE CONDUCTED PCE/ OFF-SITE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2A	A8-R		EPA SOURCE TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
2A	M6-R		ACID RAIN CEM SYSTEM REVIEW	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	AO-R		EPA REQ (O/O COND) STACK TEST/OBSERVED & REVIEWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	AN-R		EPA REQ (O/O COND) STACK TEST/NOT OBSVD BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		A7-R	STATE STACK TEST	Results Code:Pass(PP) or Fail(FF).
3A		A9-R	SOURCE TEST OBSERVED BY EPA	Results Code:Pass(PP) or Fail(FF).
3A		B1-R	SOURCE TEST OBSERVED BY STATE	Results Code:Pass(PP) or Fail(FF).
TR		AR-R	STATE REQ (O/O COND) STACK TEST/NOT OBSVD BUT REVWD	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	LV-R	LV-R	LETTER OF VIOLATION	
6A	L4-R	L4-R	NOV ISSUED BY EPA	
6A	X9-R	X9-R	FINDING OF VIOLATION-EPA	
7C		WE-R	OPEN BURNING -NOTICE OF VIOLATION ISSUED	
7C		G5-R	NOV ISSUED BY STATE	
7C		GG-R	LOCAL NOV	
7C		WF-R	NOTICE OF VIOLATION ISSUED, ERP REQUESTED	
7C		XB-R	LETTER OF VIOLATION-STATE	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	E5-R	E5-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	E3-R	E3-R	113 ORDER REVISED	PAM1
8A	E1-R	E1-R	113 ORDER ISSUED	PAM1
8A	E4-R	E4-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
7F	LP-R		113(D) ADMINISTRATIVE CIVIL COMPLAINT FILED	PAM1
C2	LG-R		113(D) PENALTY RECALCULATED	PAM1
C3	LK-R		113(D) ADMINISTRATIVE PENALTY COLLECTED	PAM1
6B	L6-R	L6-R	FEDERAL COURT DECREE ISSUED	PAM1
7E	EA-R		EPA SECTION 167 ORDER	PAM1

### STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8C		G7-R	REVISED STATE ORDER	PAM1(Total Assessed)
8C		G6-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		GE-R	SETTLEMENT AGREEMENT	PAM1(Total Assessed)
8C		WD-R	ENFORCEMENT ORDER ISSUED BY COUNTY LOCAL PROGRAM	PAM1(Total Assessed)
2D		G9-R	STATE CONSENT AGREEMENT ISSUED	PAM1 (Total Assessed)
2D		H3-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)

**CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
5B	L8-R		EPA CRIMINAL REFERRAL	PAM1
4B	L5-R	L5-R	EPA CIVIL ACTION	PAM1
1E		GL-R	CIVIL REFERRAL TO CITY/LOCAL GOVERNMENT ATTORNEY	PAM1
1E		CK-R	MACC PERMISSION TO REFER TO MO AG	PAM1
1E		GA-R	STATE CIVIL REFERAL TO ST ATTORNEY GENERAL	PAM1
9C		H2-R	CIVIL ACTION BY STATE	Use appropriate admin order or Consent Decree
1D		H5-R	STATE CRIMINAL ACTION	PAM1

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
2Z	D0-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		CO-R	STATE DAY ZERO	PLC1, Lead Agency

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8A	E1-R	E1-R	113 ORDER ISSUED	PAM1
8A	E3-R	E3-R	113 ORDER REVISED	PAM1
8A	E5-R	E5-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	E4-R	E4-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
7F	LP-R		113(D) ADMINISTRATIVE CIVIL COMPLAINT FILED	PAM1
2M	CF-R		PROP SIP OR FIP REVISION WILL LEAD TO COMPLIANCE	
6B	L6-R	L6-R	FEDERAL COURT DECREE ISSUED	PAM1
8C		G7-R	REVISED STATE ORDER	PAM1(Total Assessed)
8C		WD-R	ENFORCEMENT ORDER ISSUED BY COUNTY LOCAL PROGRAM	PAM1(Total Assessed)
8C		G6-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		GE-R	SETTLEMENT AGREEMENT	PAM1(Total Assessed)
2D		H3-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)
2D		G9-R	STATE CONSENT AGREEMENT ISSUED	PAM1 (Total Assessed)
7E		EA-R	EPA SECTION 167 ORDER	
7A		L0-R	NOTICE OF NON-COMPLIANCE	
OT		OT-R	OTHER ADDRESSING ACTION	

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
VR	CD-R	CD-R	VIOLATION RESOLVED	
DY	CI-R	CI-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	CJ-R	CJ-R	SV DELETED	

**TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
ER	UE-R		COMPLIANCE CERTIFICATION EPA REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviatic Y-Yes or N-No.
SR		US-R	COMPLIANCE CERTIFICATION STATE REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
SR		SR-R	TITLE V COMPLIANCE CERTIFICATION REVIEW BY STATE	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
CC	UC-R	UC-R	TITLE V COMPLIANCE CERT DUE/RECEIVED BY EPA	DTS1=Due Date. DTA1=Received Date.

## Title V Permit Program Data Elements and Events

<u>AFS Acronym</u>	<u>Region Use</u>	<u>State Use</u>	<u>Description-Data</u>	<u>Additional</u>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.

### Data Elements for Subparts

<u>AFS Acronym</u>	<u>Region</u>	<u>State Use</u>	<u>Description-Data Elements</u>	<u>Additional</u>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 8 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	FE-R		EPA CONDUCTED FCE/ON-SITE	
FZ	FZ-R		EPA CONDUCTED FCE/OFF-SITE	
FS		FS-R	STATE CONDUCTED FCE/ON-SITE	
FF		FF-R	STATE CONDUCTED FCE/OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	IE-R		EPA INVESTIGATION STARTED	
EC	EC-R		EPA INVESTIGATION CONDUCTED	
SI		SI-R	STATE INVESTIGATION STARTED	
SC		SC-R	STATE INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	ES-R	ES-R	EPA PCE/ON-SITE	
PS		PS-R	STATE PCE/ON-SITE	
EX	EX-R		EPA PCE/OFF-SITE	
PX	PX-R	PX-R	STATE PCE/OFF-SITE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2A	53-R		EPA SOURCE TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	TO-R		EPA REQ (O/O COND) STACK TEST/OBSERVED & REVIEWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	TE-R		EPA REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		22-R	STATE SOURCE TEST	Results Code:Pass(PP) or Fail(FF).
3A		3A-R	STATE REQ (O/O COND) STACK TEST/OBSV & REVIEWED	Results Code:Pass(PP) or Fail(FF).
TR		TR-R	STATE REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	L5-R	L5-R	NOV ISSUED BY EPA	
7C		L1-R	NOV ISSUED BY STATE	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	57-R	57-R	EPA ABATEMENT ORDER ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	Y1-R	Y1-R	EPA ADMINISTRATIVE ORDER ISSUED	PAM1
7F	AF-R		113 (D) ADMINISTRATIVE COMPLAINT FILED	PAM1
C3	A3-R		113(D) ADMINISTRATIVE PENALTY COLLECTED	PAM1
6B	X3-R	X3-R	FEDERAL CONSENT DECREE ISSUED	PAM1
7E	K1-R		EPA 167 PSD ORDER	PAM1

### STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)

### CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
5B	L7-R		EPA CRIMINAL ACTION	PAM1
4B	L6-R	L6-R	EPA CIVIL ACTION	PAM1
1E		K2-R	CIVIL REFERRAL TO STATE ATT. GENERAL	PAM1
9C		L2-R	CIVIL ACTION BY STATE	Use appropriate admin order or Consent Decree
1D		L3-R	STATE CRIMINAL ACTION	PAM1

### HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2Z	60-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		64-R	STATE DAY ZERO	PLC1, Lead Agency

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8A	57-R	57-R	EPA ABATEMENT ORDER ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	Y1-R	Y1-R	EPA ADMINISTRATIVE ORDER ISSUED	PAM1
7F	AF-R		113 (D) ADMINISTRATIVE COMPLAINT FILED	PAM1
2M	V5-R		PROPOSED SIP OR FIP REVISE WILL LEAD TO COMPLIANCE	
6B	X3-R	X3-R	FEDERAL CONSENT DECREE ISSUED	PAM1
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
2D		X2-R	STATE COURT DECREE ISSUED	PAM1 (Total Assessed)
2G		CD-R	CONTRACTOR DE-LISTING	
2H		CE-R	AHEARA CERTIFICATION	
2I		CF-R	AHEARA DE-CERTIFICATION	
7E		K1-R	EPA 167 PSD ORDER	
OT		OT-R	OTHER ADDRESSING ACTION	
7A		Z2-R	EPA ABATEMENT ORDER ISSUED	

## **HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
VR	V2-R	V2-R	VIOLATION RESOLVED	
DY	EL-R	EL-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	ED-R	ED-R	SV DELETED	

## **TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
ER	VE-R		COMPLIANCE CERTIFICATION EPA REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviatic Y-Yes or N-No.
SR		VS-R	COMPLIANCE CERTIFICATION STATE REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
CC	CC-R	CC-R	TITLE V COMPLIANCE CERT. DUE/RECEIVED BY EPA	DTS1=Due Date. DTA1=Received Date.

## **Title V Permit Program Data Elements and Events**

<b><u>AFS Acronym</u></b>	<b><u>Region Use</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data</u></b>	<b><u>Additional</u></b>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.

## **Data Elements for Subparts**

<b><u>AFS Acronym</u></b>	<b><u>Region</u></b>	<b><u>State Use</u></b>	<b><u>Description-Data Elements</u></b>	<b><u>Additional</u></b>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 9 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	BX-R		FULL COMPLIANCE EVALUATION BY EPA	
FZ	BY-R		FULL COMPLIANCE EVALUATION OFFSITE BY EPA	
FS		JY-R	FULL COMPLIANCE EVALUATION BY STATE	
FS		RY-R	FULL COMPLIANCE EVALUATION BY LOCAL - ONSITE	
FF		RX-R	FULL COMPLIANCE EVALUATION OFFSITE BY LOCAL	
FF		JX-R	FULL COMPLIANCE EVALUATION OFFSITE BY STATE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	CD-R		EPA INVESTIGATION STARTED	
EC	CE-R		EPA INVESTIGATION CONDUCTED	
SI		LC-R	STATE INVESTIGATION STARTED	
SI		UC-R	LOCAL INVESTIGATION STARTED	
SC		LD-R	STATE INVESTIGATION CONDUCTED	
SC		UD-R	LOCAL INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	CJ-R	CJ-R	EPA PARTIAL INSPECTION ON-SITE	
PS		JV-R	PARTIAL ONSITE VISIT BY STATE	
PS		RV-R	PARTIAL ONSITE VISIT BY LOCAL	
EX	CK-R		EPA PARTIAL INSPECTION OFF-SITE	
PX	RK-R	RK-R	DISTRICT REVIEW OF CEM, STEST, EER DATA	
PX	RW-R	RW-R	PARTIAL OFFSITE REVIEW BY LOCAL	
PX	IL-R	IL-R	STATE CEM, EER, TEST DATA REVIEW	
PX	JW-R	JW-R	PARTIAL OFFSITE REVIEW BY STATE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2A	AL-R		SOURCE TEST WITNESSED BY EPA	Results Code:Pass(PP) or Fail(FF). Action PLLT
TO	CH-R		EPA OBSERVED SOURCE TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	CI-R		EPA REVIEWS A SOURCE TEST	Results Code:Pass(PP) or Fail(FF). Action PLLT
6C		JU-R	SOURCE TEST CONDUCTED BY STATE	Results Code:Pass(PP) or Fail(FF).
6C		RJ-R	DISTRICT SOURCE TEST CONDUCTED	Results Code:Pass(PP) or Fail(FF).
6C		RU-R	LOCAL SOURCE TEST_CONDUCTED	Results Code:Pass(PP) or Fail(FF).
3A	IK-R		STATE SOURCE TEST OBSERVED	Results Code:Pass(PP) or Fail(FF).
3A	RZ-R		DISTRICT SOURCE TEST OBSERVED & REVIEWED	Results Code:Pass(PP) or Fail(FF).
TR	JT-R		SOURCE TEST REVIEW BY STATE	Results Code:Pass(PP) or Fail(FF).
TR		RT-R	SOURCE TEST REVIEW BY LOCAL	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	BB-R	BB-R	EPA NOV ISSUED	
7C		J8-R	STATE NOV ISSUED	
7C		S8-R	DISTRICT NOV ISSUED	

### FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	BC-R	BC-R	EPA 113 ORDER ISSUED	PAM1
7F	BE-R		EPA SECTION (D) PENALTY ORDER FILED	PAM1
7F	C4-R		NOTICE OF DETERMINATION ISSUED	PAM1
7F	BF-R		EPA 113(D) ADMINISTRATIVE COMPLAINT	PAM1
C2	BK-R		113D APO PENALTY RECALCULATED	PAM1
C3	BL-R		113D APO PENALTY COLLECTED	PAM1
6B	BT-R	BT-R	EPA CONSENT DECREE	PAM1
7E	BO-R		EPA SECTION 167 ORDER ISSUED	PAM1

**STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS**

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8C		JP-R	STATE LETTER ORDERS COMPLIANCE	PAM1(Total Assessed)
8C		J4-R	STATE NON ORDER REQUIRES COMPLIANCE	PAM1(Total Assessed)
8C		SP-R	LOCAL LETTER ORDERS COMPLIANCE	PAM1(Total Assessed)
8C		JE-R	STATE ADMINISTRATIVE COMPLAINT ORDER	PAM1(Total Assessed)
8C		JH-R	STATE ABATEMENT ORDER	PAM1(Total Assessed)
8C		SE-R	LOCAL ADMINISTRATIVE COMPLAINT ORDER	PAM1(Total Assessed)
8C		SG-R	LOCAL MS HEARING ORDERS COMPLIANCE	PAM1(Total Assessed)
8C		SH-R	DISTRICT ABATEMENT ORDER	PAM1(Total Assessed)
8C		S4-R	LOCAL NON ORDER REQUIRES COMPLIANCE	PAM1(Total Assessed)
8C		JG-R	STATE MS HEARING ORDERS COMPLIANCE	PAM1(Total Assessed)
2D		SK-R	DISTRICT CONSENT DECREE	PAM1 (Total Assessed)
2D		JK-R	STATE CONSENT DECREE	PAM1 (Total Assessed)

**CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
5B	BS-R		EPA CRIMINAL ACTION	PAM1
4B	BQ-R	BQ-R	EPA CIVIL ACTION	PAM1
1E		JN-R	STATE REFERRAL TO ATTORNEY GENERAL	PAM1
1E		SN-R	DISTRICT CIVIL REFERRAL TO AG	PAM1
9C		JI-R	STATE CIVIL ACTION	Use appropriate admin order or Consent Decree
9C		SI-R	DISTRICT CIVIL ACTION	Use appropriate admin order or Consent Decree
1D		SJ-R	DISTRICT CRIMINAL ACTION	PAM1
1D		JJ-R	STATE CRIMINAL ACTION	PAM1

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action, Date Addressed, formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
2Z	B5-R		EPA "DAY ZERO" (STARTS SV CLOCK)	PLC1, Lead Agency
2E		J9-R	DAY ZERO BY STATE FOR AN SV	PLC1, Lead Agency
2E		S9-R	DISTRICT DAY 0 FOR SV	PLC1, Lead Agency

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	BC-R	BC-R	EPA 113 ORDER ISSUED	PAM1
7F	C4-R		NOTICE OF DETERMINATION ISSUED	PAM1
7F	BE-R		EPA SECTION (D) PENALTY ORDER FILED	PAM1
2M	MO-R		STATE SIP REVISION	
2M	AS-R		PROPOSED SIP/FIP REVISION TO COMPLIANCE	
8C		SP-R	LOCAL LETTER ORDERS COMPLIANCE	PAM1(Total Assessed)
8C		S4-R	LOCAL NON ORDER REQUIRES COMPLIANCE	PAM1(Total Assessed)
8C		SH-R	DISTRICT ABATEMENT ORDER	PAM1(Total Assessed)
8C		SG-R	LOCAL MS HEARING ORDERS COMPLIANCE	PAM1(Total Assessed)
8C		J4-R	STATE NON ORDER REQUIRES COMPLIANCE	PAM1(Total Assessed)
8C		JE-R	STATE ADMINISTRATIVE COMPLAINT ORDER	PAM1(Total Assessed)
8C		JG-R	STATE MS HEARING ORDERS COMPLIANCE	PAM1(Total Assessed)
8C		JH-R	STATE ABATEMENT ORDER	PAM1(Total Assessed)
8C		SE-R	LOCAL ADMINISTRATIVE COMPLAINT ORDER	PAM1(Total Assessed)
8C		JP-R	STATE LETTER ORDERS COMPLIANCE	PAM1(Total Assessed)
2D		SK-R	DISTRICT CONSENT DECREE	PAM1 (Total Assessed)
2D		JK-R	STATE CONSENT DECREE	PAM1 (Total Assessed)
SE		BM-R	113D SETTLEMENT	
7A		B2-R	EPA SECTION 120 NOTICE OF NONCOMPLIANCE	
OT	C3-R		OTHER EPA ADDRESSING ACTION	
2L	DO-R		EPA ISSUES SOURCE SPECIFIC REV	
2L		IO-R	STATE PROPOSED SIP REVISION	
OT		JR-R	OTHER STATE ADDRESSING ACTION	
2L		RN -R	DISTRICT SIP REVISION LEADS TO COMPLIANCE	
OT		SR-R	OTHER DISTRICT ADDRESSING ACTION	



**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
VR	SO-R	SO-R	DISTRICT SV RESOLVED	
VR	BV-R	BV-R	EPA SV RESOLVED	
VR	JO-R	JO-R	STATE SV RESOLVED	
DY	B9-R	B9-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	B8-R	B8-R	SV DELETED (EPA)	
RV	SD-R	SD-R	DISTRICT SV DELETED	
RV	JD-R	JD-R	STATE SV DELETED	

**TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ER	CF-R		EPA TITLE V CERTIFICATION REVIEW	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviatic Y-Yes or N-No.
SR		JS-R	TITLE V CERTIFICATION REVIEW - STATE	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
SR		RS-R	TITLE V CERTIFICATION REVIEW - LOCAL	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
CC	CG-R	CG-R	EPA TITLE V CERTIFICATION DUE/RECEIVED	DTS1=Due Date. DTA1=Received Date.

**Title V Permit Program Data Elements and Events**

<u>AFS Acronym</u>	<u>Region Use</u>	<u>State Use</u>	<u>Description-Data</u>	<u>Additional</u>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.

**Data Elements for Subparts**

<u>AFS Acronym</u>	<u>Region</u>	<u>State Use</u>	<u>Description-Data Elements</u>	<u>Additional</u>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

## REGION 10 SUGGESTED ACTION TYPES FOR REPORTING TO AFS

### FULL COMPLIANCE EVALUATIONS (FCE)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
FE	2Y-R		EPA MULTIMEDIA FCE - ONSITE	
FE	2A-R		EPA MULTIMEDIA FCE - ONSITE	
FE	FE-R		EPA CONDUCTED FULL COMPLIANCE EVALUATION / ON-SITE	
FZ	FZ-R		EPA CONDUCTED FULL COMPLIANCE EVALUATION / /OFF-SITE	
FS		FS-R	STATE/LOCAL CONDUCTED FCE - ONSITE	
FS		CC-R	OR STATE INSPEC-COMMITTED COMPREHEN. COMP. ON-SITE	
FS		2C-R	AK-CONDUCTED FULL COMPLIANCE EVALUATION ONSITE	
FS		CS-R	OREGON STATE INSPECTION-NSPS INSPECTION/ON-SITE	
FS		CN-R	OREGON STATE INSPEC-NONCOM COMPREHEN. COMP ON-SITE	
FF		1A-R	AK-CONDUCTED FULL COMPLIANCE EVALUATION OFFSITE	
FF		FF-R	STATE/LOCAL CONDUCTED FCE / OFF-SITE	

### INVESTIGATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
EI	EI-R		EPA INVESTIGATION INITIATED	
EC	EC-R		EPA INVESTIGATION CONDUCTED	
SI		SI-R	STATE/LOCAL INVESTIGATION INITIATED	
SC		SC-R	STATE/LOCAL INVESTIGATION CONDUCTED	

### PARTIAL COMPLIANCE EVALUATIONS (PCE) - (Note: reporting State PCEs are currently an option.)

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ES	ES-R	ES-R	EPA PARTIAL COMPLIANCE EVALUATION/ON-SITE	
ES	2F-R	2F-R	EPA-MULTIMEDIA PCE/ON-SITE	
PS			EVALUATION - ONSITE	
EX	EX-R		EPA PARTIAL COMPLIANCE EVALUATION/OFF-SITE	
PX	99-R	99-R	AK-ANNUAL COMPLIANCE CERTIFICATION - PCE/OFFSITE	
PX	6A-R	6A-R	AK-FACILITY OPRPT-THOROUGH REVIEW PCE/OFFSITE	
PX	PX-R	PX-R	STAE/LOCAL PARTIAL COMPLIANCE EVALUATION OFFSITE	
PX	81-R	81-R	AK-ORL ANNUAL COMPLIANCE CERT - PCE/OFFSITE	
PX	80-R	80-R	AK-PREAPP. LIMIT FUEL USAGE REPORT - PCE/OFFSITE	
PX	83-R	83-R	AK-SEMI-ANN. OPRPT/GENERAL PERMIT/PCE/OFFSITE	

### STACK TESTS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
TO	TO-R		EPA REQD (/O COND) STACK TEST/OBSERVED & REVIEWED	Results Code:Pass(PP) or Fail(FF). Action PLLT
TE	TE-R		EPA REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF). Action PLLT
3A		NS-R	STATE OBSERVED SOURCE/PERFORMANCE/STACK TEST	Results Code:Pass(PP) or Fail(FF).
3A		23-R	S/L REQD (O/O CONDUCTED) STACK TEST OBSV & REVIEWD	Results Code:Pass(PP) or Fail(FF).
3A		18-R	STATE-SOURCE/PERFORMANCE/STACK TEST CONDUCTED	Results Code:Pass(PP) or Fail(FF).
TR		TR-R	S/L REQ (O/O COND) STACK TEST/NOT OBSV BUT REVWD	Results Code:Pass(PP) or Fail(FF).
TR		59-R	AK-STACK TEST REQ (O/O COND) NOT OBSV BUT REVIEWED	Results Code:Pass(PP) or Fail(FF).

### NOTICE OF VIOLATIONS

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
6A	48-R	48-R	FINDING A VIOLATION	
6A	L5-R	L5-R	NOV ISSUED BY EPA	
7C		58-R	PSCAA/WA-WARNING LETTER	
7C		96-R	OR - NOTICE OF NON-COMPLIANCE	
7C		91-R	LOCAL AGENCY NOTICE OF VIOLATION	
7C		75-R	IDAHO - STATE WARNING LETTER (7C STATE NOV ISSUED)	
7C		84-R	IDAHO - NOV ISSUED	
7C		L1-R	NOV ISSUED BY STATE	
7C		82-R	PSCAA ISSUED COMPLIANCE STATUS REPORTS	
7C		2N-R	NWAPA/WA - WARNING LETTER	

**FEDERAL ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8A	Y3-R	Y3-R	EPA 113A PROHIBIT CONSTRUCTION ORDER ISSUED	PAM1
8A	78-R	78-R	COMPLIANCE ORDER 113 FINAL/ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
7F	7F-R		113D APO COMPLAINT FILED.	PAM1
C3	C3-R		EPA 113(D) ADMINISTRATIVE PENALTY COLLECTED	PAM1
6B	10-R	10-R	FEDERAL COURT ORDER SIGNED	PAM1
6B	12-R	12-R	FEDERAL CONSENT AGREEMENT SIGNED	PAM1
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
7E	60-R		167 STOP CONSTRUCTION ORDER	PAM1

**STATE ADMINISTRATIVE ORDERS AND PENALTY AMOUNTS**

(note: Administrative Orders include Penalty Notices Compliance Notices, Agreed Orders, Compliance Administrative Orders, Consent Orders or Final Orders)

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
8C		2R-R	SCAPCA/WA-NOTICE & ORDER OF ASSESSMENT	PAM1(Total Assessed)
8C		2Q-R	NWAPA/WA - ASSURANCE OF DISCONTINUANCE	PAM1(Total Assessed)
8C		37-R	AK - COMPLIANCE ORDERS BY CONSENT (COBC)	PAM1(Total Assessed)
8C		2G-R	WA/CRO - NOTICE OF PENALTY	PAM1(Total Assessed)
8C		13-R	PSCAA/WA - ASSURANCE OF DISCONTINUANCE	PAM1(Total Assessed)
8C		2P-R	NWAPA/WA - IMPOSITION OF PENALTY	PAM1(Total Assessed)
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		XI-R	113(A)(1)SIP ORDER ISSUED BY STATE	PAM1(Total Assessed)
8C		XJ-R	113(A)(3)NON-SIP ORD ISSUED BY STATE	PAM1(Total Assessed)
8C		94-R	OREGON DEPARTMENT ORDER	PAM1(Total Assessed)
8C		XK-R	113(A)(5)STOP CONST ORDER ISSUED BY STATE	PAM1(Total Assessed)
8C		09-R	PSCAA/WA - CIVIL PENALTIES	PAM1(Total Assessed)
8C		X4-R	ID-NOV W/PENALTY-RESOLVES W/O CONCENT ORDER OR CIV	PAM1(Total Assessed)
8C		97-R	OREGON CIVIL PENALTY	PAM1(Total Assessed)
8C		93-R	MUTUAL AGREEMENT & ORDER (MAO)	PAM1(Total Assessed)
8C		7D-R	ALASKA-SETTLEMENT AGREEMENT	PAM1(Total Assessed)
8C		61-R	IDAHO - CONSENT ORDER ISSUED	PAM1(Total Assessed)
2D		9A-R	PSCAA/WA - JUDICIAL REFERRAL	PAM1 (Total Assessed)
2D		LA-R	STATE CONSENT AGREEMENT ISSUED	PAM1 (Total Assessed)
2D		X2-R	STATE COURT ORDER ISSUED	PAM1 (Total Assessed)

**CIVIL AND CRIMINAL REFERRALS AND PENALTY AMOUNTS**

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
5B	L7-R		EPA CRIMINAL ACTION	PAM1
4B	L6-R	L6-R	EPA CIVIL ACTION	PAM1
4B	22-R	22-R	REFER TO JUSTICE DEPARTMENT	PAM1
1E		LB-R	STATE CIVIL REFERAL TO ST ATTORNEY GENERAL	PAM1
9C		11-R	PSCAA/WA-INJUNCTIVE RELIEF	Use appropriate admin order or Consent Decree
9C		L2-R	CIVIL ACTION BY STATE	Use appropriate admin order or Consent Decree
1D		L3-R	STATE CRIMINAL ACTION	PAM1

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - DAY ZERO**

(note: HPV cases contain a Day Zero action,Date Addressed,formal or informal action and Date Resolved. Any action can be linked. Comment on Day Zero documents the type of violation)

<b><u>Natl</u></b>	<b><u>Region</u></b>	<b><u>State</u></b>	<b><u>Regional Action Description</u></b>	<b><u>Additional Requirements</u></b>
2Z	2Z-R		FEDERAL DAY ZERO	PLC1, Lead Agency
2E		SV-R	SV STATE DAY 0	PLC1, Lead Agency

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - ADDRESSING ACTIONS**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
8A	Y3-R	Y3-R	EPA 113A PROHIBIT CONSTRUCTION ORDER ISSUED	PAM1
8A	78-R	78-R	COMPLIANCE ORDER 113 FINAL/ISSUED	PAM1
8A	Y2-R	Y2-R	EPA 113A NON-SIP VIOLATION ORDER ISSUED	PAM1
8A	Y1-R	Y1-R	EPA 113A SIP VIOLATION ORDER ISSUED	PAM1
7F	7F-R		113D APO COMPLAINT FILED.	PAM1
6B	12-R	12-R	FEDERAL CONSENT AGREEMENT SIGNED	PAM1
6B	10-R	10-R	FEDERAL COURT ORDER SIGNED	PAM1
6B	X3-R	X3-R	FEDERAL COURT DECREE ISSUED	PAM1
8C		94-R	OREGON DEPARTMENT ORDER	PAM1(Total Assessed)
8C		93-R	MUTUAL AGREEMENT & ORDER (MAO)	PAM1(Total Assessed)
8C		7D-R	ALASKA-SETTLEMENT AGREEMENT	PAM1(Total Assessed)
8C		61-R	IDAHO - CONSENT ORDER ISSUED	PAM1(Total Assessed)
8C		37-R	AK - COMPLIANCE ORDERS BY CONSENT (COBC)	PAM1(Total Assessed)
8C		2R-R	SCAPCA/WA-NOTICE & ORDER OF ASSESSMENT	PAM1(Total Assessed)
8C		09-R	PSCAA/WA - CIVIL PENALTIES	PAM1(Total Assessed)
8C		X4-R	ID-NOV W/PENALTY-RESOLVES W/O CONCENT ORDER OR CIV	PAM1(Total Assessed)
8C		X1-R	STATE ORDER ISSUED	PAM1(Total Assessed)
8C		XI-R	113(A)(1)SIP ORDER ISSUED BY STATE	PAM1(Total Assessed)
8C		2G-R	WA/CRO - NOTICE OF PENALTY	PAM1(Total Assessed)
8C		13-R	PSCAA/WA - ASSURANCE OF DISCONTINUANCE	PAM1(Total Assessed)
8C		XJ-R	113(A)(3)NON-SIP ORD ISSUED BY STATE	PAM1(Total Assessed)
8C		XK-R	113(A)(5)STOP CONST ORDER ISSUED BY STATE	PAM1(Total Assessed)
2D		LA-R	STATE CONSENT AGREEMENT ISSUED	PAM1 (Total Assessed)
2D		X2-R	STATE COURT ORDER ISSUED	PAM1 (Total Assessed)
OT		OT-R	OTHER ADDRESSING ACTION	
RT		RT-R	SV REPORTED AS ADDRESSED	
9C		11-R	PSCAA/WA-INJUNCTIVE RELIEF	
7E		60-R	167 ST OP CONSTRUCTION ORDER	

**HIGH PRIORITY VIOLATOR (HPV) ACTION LINKING - HPV RESOLVED**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
VR	VR-R	VR-R	VIOLATION RESOLVED	
DY	DY-R	DY-R	LEAD CHANGED TO FEDERAL ENFORCEMENT	
RV	RV-R	RV-R	SV DELETED	

**TITLE V SELF CERTIFICATIONS AND COMPLIANCE STATUS (Note: contains new CMS requirements)**

<u>Natl</u>	<u>Region</u>	<u>State</u>	<u>Regional Action Description</u>	<u>Additional Requirements</u>
ER	41-R		T-V ANNUAL COMPLIANCE CERT REVIEWED BY EPA	Results Code: MV-in violation, MC-in Compliance, MU-Unknown. RDE8=Deviatic Y-Yes or N-No.
SR		SR-R	TV ANNUAL COMPL. CERT REVIEW BY PERMIT AUTHORITY	Results Code: MV-in violation, MC-in Compliance, MU-Unknown.
CC	C1-R	C1-R	TITLE V ANNUAL CERT DUE/RECEIVED BY EPA	DTS1=Due Date. DTA1=Received Date.

## Title V Permit Program Data Elements and Events

<u>AFS Acronym</u>	<u>Region Use</u>	<u>State Use</u>	<u>Description-Data</u>	<u>Additional</u>
PAFS			Permitting Authority Name	FIPS Tables
PAPN			AFS Plant ID Number	
APC1			Permit Number	
PLAP			Permit Air Program Code	V
SCA1			Permit Pollutant Code	Facil
			Permit Program Compliance	Current
		DP	Draft Permit	Permit Number
		DQ	Draft Permit Modification	
		PP	Date Permit Recd By EPA	
		PM	Date Permit Mod Recd by EPA	
		PE	EPA 45-Day Review Period	System Generated
		IF	Date Permit Issued	
		IM	Date Permit Modification Issued	
		IR	Permit Renewal	
	PO		Date EPA Objects to Permit	
	PL		Date EPA Objects to Permit Mod	
	PG		Date EPA Denies Revised Permit	
	PH		Date EPA Denies Revised Mod	
	PT		Date Public Petitions EPA -	
	PD		Date Public Petitions EPA - Mod	
	PQ		Date EPA Action - Public Petition	

Note: please reference <http://www.epa.gov/compliance/planning/data/air/pmtpolicy.pdf> for more information on the reporting of Title V data.

### Data Elements for Subparts

<u>AFS Acronym</u>	<u>Region</u>	<u>State Use</u>	<u>Description-Data Elements</u>	<u>Additional</u>
SPT1 APC1=9	X	X (Optional)	40 CFR Part 60 (NSPS) Subparts- Air Program Code 9	Plant Level
SPT1 APC1=8	X	X (Optional)	40 CFR Part 61 (NonMACT NESHAP) Subparts-Air Program Code 8	Plant Level
SPT1 APC1=M	X	X (Optional)	40 CFR Part 63 (MACT NESHAP) Subparts-Air Program Code M	Plant Level
SPT1 APC1=0	X	X (Optional)	40 CFR Part 60 - Air Program Code 0	Plant Level
SPT1 APC1=1	X	X (Optional)	40 CFR Part 60 - Air Program Code 1	Plant Level

**APPENDIX 4**

**GLOSSARY OF TERMS**

## **Glossary of Terms**

### **A**

<b>AO:</b>	Administrative Order
<b>APO:</b>	Administrative Penalty Order
<b>AFS:</b>	Air Facility System

### **B**

### **C**

<b>CAA:</b>	Clean Air Act
<b>CASN:</b>	Chemical Abstract Service Number
<b>CFC:</b>	Chlorofluorocarbons
<b>CMS:</b>	Compliance Monitoring Strategy
<b>COFA:</b>	Closeness of Fit Analysis

### **D**

### **E**

<b>ECHO:</b>	Enforcement and Compliance History Online
<b>EPA:</b>	Environmental Protection Agency
<b>ETS:</b>	Emissions Tracking System

### **F**

<b>FCE:</b>	Full Compliance Evaluation
<b>FIP:</b>	Federal Information Procedures System

## ***G***

## ***H***

**HAPs:** Hazardous Air Pollutants

## ***I***

**ICR:** Information Collection Request

**ICIS:** Integrated Compliance Information System

## ***J - L***

## ***M***

**MACT:** Maximum Achievable Control Technology

**MDRs:** Minimum Data Requirements

## ***N***

**NAAQS:** National Ambient Air Quality Standards

**NAICS:** North American Industrial Classification System

**NESHAP:** National Emission Standard for Hazardous Air Pollutants

**NOV:** Notice of Violation

**NSPS:** New Source Performance Standards

**NSR:** New Source Review

## ***O***

**OTIS:** Online Targeting and Information System



## ***P***

**PCE:** Partial Compliance Evaluation  
**PSD:** Prevention of Significant Deterioration

## ***Q***

## ***R***

**RATA:** Relative Accuracy Test Audit  
**RD08:** Regional Data Element 8  
**RD16:** Regional Data Element 16  
**RECAP:** Reporting for Enforcement and Compliance Assurance Priorities  
**RMRR:** Routine Maintenance, Repair and Replacement

## ***S***

**SEPs:** Supplemental Environmental Project  
**SIC:** Standard Industrial Classification  
**SIP:** State Implementation Plan  
**SV:** Significant Violator

## ***T***

**T&A:** Timely and Appropriate  
**TAR:** Tribal Authorization Plan  
**TIP:** Tribal Implementation Plan

## ***U - Z***